

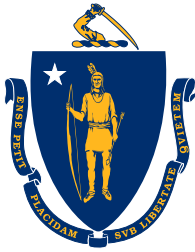


Secretary of the Commonwealth Annual Report

Fiscal Year 2021



William Francis Galvin
Secretary of the Commonwealth



The Commonwealth of Massachusetts
Secretary of the Commonwealth
State House, Boston, Massachusetts 02133

William Francis Galvin
Secretary of the Commonwealth

Dear Citizens,

Enclosed you will find the fiscal year 2021 Annual Report for the Office of the Secretary of the Commonwealth. You will note that the period reported on includes activity severely impacted by the Governor's March 10, 2020 declaration of emergency to support the Commonwealth's response to Coronavirus. Throughout this time, my office has continued to provide access to in-person service at all locations. I hope you take some time to review the accomplishments of this office, and I have offered some brief highlights below.

Despite ongoing economic uncertainty, the Corporations Division saw almost 64,000 new entities organized or registered to do business, up from approximately 48,000 new entities recorded in the previous fiscal year. The Division's online filing system was a crucial tool for businesses filing annual reports and obtaining certificates while complying with stay-at-home orders and social distancing guidelines.

The Elections Division successfully administered the 2020 State Primaries and State Election under temporary emergency vote-by-mail provisions. This required two statewide mailings of ballot applications to all registered voters, the promulgation of emergency regulations and guidelines on safe voting, and the provision of training and equipment for local election officials to administer elections in a safe and secure manner.

The Massachusetts Archives hosted approximately 400 researchers for in-person visits. This decline was offset by the launching of a broad range of remote services offered including workshops and researcher trainings through video-conferences and social media. As a result, the Archives responded to nearly 13,000 inquiries via email, phone, and mail.

Similarly, the Massachusetts Historical Commission continued to conduct commission meetings and preservation training workshops in a virtual format. In tracking its progress along the federal fiscal schedule, the staff reviewed over 11,000 state and federal projects between October 1, 2020 and September 30, 2021.

The Public Records Division issued over 2,900 determinations relating to records access and opened and resolved 311 petitions from records access officers relating to fees, time extensions, or the relief of obligation to provide records. In addition, the Lobbyist Division collected \$868,168 in registration and late fees.

I continue to be immensely grateful for the staff of this office. In every division, they never faltered in their dedicated effort to provide swift service to the public. They continued their record of ensuring that not a single business day went by without the phones being answered. Anyone reaching out with questions or seeking critical services can count on prompt attention from our knowledgeable public servants.

Very truly yours,

A handwritten signature in blue ink that reads "William Francis Galvin".

William Francis Galvin
Secretary of the Commonwealth

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Office of the Secretary of the Commonwealth

State House, Room 337

Boston, MA 02133

Website: www.sec.state.ma.us

0511-0000 For the operation of the office of the secretary of the commonwealth; provided, that the secretary may transfer funds between items 0540-0900, 0540-1000, 0540-1100, 0540-1200, 0540-1300, 0540-1400, 0540-1500, 0540-1600, 0540-1700, 0540-1800, 0540-1900, 0540-2000 and 0540-2100 under an allocation schedule which shall be filed with the house and senate committees on ways and means not less than 30 days before the transfer; and provided further, that each register of deeds using electronic record books shall ensure that all methods of electronically recording instruments conform to the regulations or standards established by the secretary of the commonwealth and the records conservation board.	\$6,739,289
0511-0001 For the secretary of the commonwealth, who may expend retained revenues not to exceed \$15,000 from the sale of merchandise at the state house gift shop to restock gift shop inventory.....	\$15,000
0511-0002 For the operation of the corporations division; provided, that the division shall implement a corporate dissolution program; and provided further, that not later than August 15, 2021, the secretary shall file biannual reports with the house and senate committees on ways and means detailing the total number of reports filed as a result of this program and the amount of revenue generated for the commonwealth.....	\$352,868
0511-0200 For the operation of the archives division; provided, that not less than \$200,000 shall be expended for preservation matching grants for municipalities and nonprofit organizations to preserve veterans monuments, memorials and other significant sites and historic documents; and provided further, that the program shall be administered by the state historic records advisory board	\$670,213
0511-0230 For the operation of the records center.	\$35,469
0511-0250 For the operation of the archives facility.	\$298,581
0511-0260 For the operation of the commonwealth museum.	\$233,350
0511-0270 For the secretary of the commonwealth, who shall contract with the University of Massachusetts Donahue Institute to provide the commonwealth with technical assistance on United States census data and to prepare annual population estimates; provided, that the contract shall be for not less than \$325,000; and provided further, that not less than \$250,000 shall be expended for the local election districts review commission to assist local officials in the reprecincting process.	\$1,250,000
0511-0420 For the operation of the address confidentiality program.	\$136,971
0517-0000 For the printing of public documents.....	\$510,639
0521-0000 For the operation of the elections division, including preparation, printing and distribution of ballots and for other miscellaneous expenses for primary and other elections; provided, that the secretary of the commonwealth may award grants for voter registration and education; and provided further, that the registration and education activities may be conducted by community-based voter registration and education organizations	\$13,416,208

0521-0001 For the operation of the central voter registration computer system; provided, that not later than February 26, 2021, the secretary of the commonwealth shall submit a report to the house and senate committees on ways and means detailing voter registration activity and a breakdown, by region, of active voters in the commonwealth.	\$6,407,994
0521-0002 For implementing early voting in the commonwealth for the September 1, 2020 state primary and the November 3, 2020 state election under sections 6 and 7 of chapter 115 of the acts of 2020 and section 25B of chapter 54 of the General Laws, as well as for the March 3, 2020 presidential primary election as required by section 89 of chapter 142 of the acts of 2019, as determined through the collection and certification of accurate accounting by the state auditor and division of local mandates for distribution by the secretary of the commonwealth.	\$3,016,019
0524-0000 For providing information to voters.	\$1,442,738
0526-0100 For the operation of the Massachusetts historical commission	\$942,051
0527-0100 For the operation of the ballot law commission.....	\$10,384
0528-0100 For the operation of the records conservation board.....	\$36,396
0540-0900 For the registry of deeds located in the city of Lawrence	\$1,289,551
0540-1000 For the registry of deeds located in the city of Salem.	\$2,927,833
0540-1100 For the registry of deeds located in the county of Franklin	\$641,798
0540-1200 For the registry of deeds located in the county of Hampden	\$1,927,509
0540-1300 For the registry of deeds located in the county of Hampshire	\$817,094
0540-1400 For the registry of deeds located in the city of Lowell	\$1,218,625
0540-1500 For the registry of deeds located in the city of Cambridge	\$3,700,303
0540-1600 For the registry of deeds located in the town of Adams.....	\$276,721
0540-1700 For the registry of deeds located in the city of Pittsfield	\$476,652
0540-1800 For the registry of deeds located in the town of Great Barrington.....	\$235,102
0540-1900 For the registry of deeds located in the county of Suffolk	\$2,201,802
0540-2000 For the registry of deeds located in the city of Fitchburg	\$706,436
0540-2100 For the registry of deeds located in the city of Worcester	\$2,300,531

Year – End Revenue for Fiscal 2021

Revenue was broken down into (4) categories for a total of.....	\$430,146,091.24
Corporations, Archives, Public Records.....	\$154,526,532.44
Gift Cart, Bookstore.....	\$337,490.84
Securities.....	\$56,462,887.22
Registries of Deeds.....	\$218,819,180.74

The Address Confidentiality Program

P.O. Box 9120
Chelsea, Massachusetts 02150-9120
617-727-3261
1-866-SAFE-ADD
Website: www.sec.state.ma.us/acp

The Address Confidentiality Program (ACP) allows victims of domestic violence, sexual assault and stalking to escape from actual or threatened violence by providing a substitute mailing address to program participants, allowing them to keep their new physical address hidden from their perpetrator. The ACP, established by Chapter 409 of the Acts of 2000, became effective in Massachusetts April 9, 2001. Since that date, almost 1,700 participants have benefited from services provided by the Program.*

Between July 1, 2020 and June 30, 2021, the program certified 81 new participants. During that period, the Program's 421 participants included 203 women, 17 men, and 201 children. The ACP processed an average of 2,200 pieces of mail each month.

Counties Represented

Barnstable	6
Berkshire	3
Bristol	30
Essex	51
Franklin	5
Hampden.....	33
Hampshire	8
Middlesex.....	116
Norfolk	48
Plymouth	19
Suffolk	54
Worcester	40
Total Participants.....	421

*As of date of report 7/1/2021

Corporations Division

One Ashburton Place, Room 1717
Boston, MA 02108
(617) 727-9640
Email: corpinfo@sec.state.ma.us
Website: www.sec.state.ma.us/cor

The Corporations Division administers the laws pertaining to certain business entity types including corporations, limited liability companies, limited partnerships, limited liability partnerships, and business trusts. Trademarks and service marks are also filed with the Division as well as certain Article 9 Uniform Commercial Code (UCC) filings. All providers of warranties for vehicle protection products are also required to register with the Division. Finally, the Division is deemed to be the agent for service of process on certain foreign entities and/or individuals doing business in the Commonwealth if that entity or person does not have an agent or fails to act as such.

The Division maintains a website which includes copies of all business entity, trademark, service mark and UCC filings made with the Division since 2001. Documents may be submitted electronically 24 hours a day, 7 days a week. A brief summary of the Division's accomplishments for 2020 - 2021 include:

- The Division notified 39,918 domestic and foreign LLCs that they were delinquent in filing annual reports with the Division. As a result, 20,003 annual reports were filed with the Division, generating, \$10,001,500.00 in revenue.
- The Division issued an additional 93,052 certificates of legal existence and good standing; the total revenue generated from these certificates was \$1,738,246.00. A lot of the increase in certificate orders is due to COVID-19 related loan and grant programs.

The Division's online filing and management system continued to be a leader throughout the country and a strong example of how other jurisdictions' should adapt their current online systems. The system allowed the Division to never close during the COVID-19 pandemic and allowed filers to continue to make the necessary filings even as most were now working remotely.

The online filing system allows filings to be made 24 hours a day, 7 days a week, which is the preferred method of filing within the business community, as exhibited by the fact that 80 percent of filings made in the Commonwealth are made electronically. The system is not only utilized for filing, but is an all-inclusive portal for the services provided by the Division. The public may order certificates, which may be delivered via email, search the records of any business entity, view the records of those entities, and view any document rejected by the Division and the reason for that rejection via the Division's website. The system continues to be upgraded to move with technology today and address concerns of the filing public.

Almost 64,000 new business entities and non-profit corporations organized or registered to do business with the Division. The number of limited liability companies continued to follow the trend of the last few years by being the preferred entity type two to one.

Elections Division

One Ashburton Place, Room 1705
Boston, MA 02108
(617) 727-2828, Toll Free: 1-800-462-VOTE (8683)
Email: elections@sec.state.ma.us
Website: www.sec.state.ma.us/ele

The Elections Division administers all state elections, provides information on voting, and supplies election materials to the public, candidates and government officials.

In FY 2021, the Elections Division administered the 2020 State Primaries and State Election amidst the COVID-19 pandemic, which required the implementation of a number of changes to voting processes and procedures to allow for safe and secure voting.

At the beginning of FY 2021, the Elections Division counted and certified two Initiative Petitions for Laws which placed ballot questions on the 2020 State Election ballot. As required by the state constitution, the Division printed and delivered the Information for Voters booklet to all residential addresses and group homes in the commonwealth. Information for Voters, which provides information on statewide ballot questions and the election, was also made available in Spanish, Chinese, Khmer, Large Print, and Braille, and as an audio version. To educate voters of their voting options during the pandemic, the booklet also included information on voting by mail, early voting, and safety measures in place on Election Day.

As required by law, the Elections Division conducted two statewide mailings of ballot applications to all registered voters who had not already applied to vote by mail. In total, the Elections Division mailed 7,636,484 pre-addressed, postage pre-paid ballot applications to voters for the two statewide elections.

In order to facilitate voting by mail, the Elections Division worked with the United States Postal Service to design and prepare ballot envelopes and other supplies for local election officials to use for ballots being sent and received by their offices. The Division prepared pre-addressed, postage pre-paid envelopes for each of the 351 election offices, so that voters could return their ballots directly to their local election offices without being required to pay for postage.

While preparing for application and ballot mailing, the Elections Division also prepared ballots for the September State Primaries, which required the printing of more than 2,000 ballot styles for 4 separate party primaries. The Elections Division also prepared and printed more than 500 ballot styles for use in the November State Election.

The Elections Division also provided guidance and reimbursements to local election officials for ballot drop-boxes, which allowed voters to return their ballots to local election offices in a contact-free manner, in time to have their ballots counted.

For in-person voting, the Elections Division provided local election officials with personal protective equipment, cleaning products, and plexiglass barriers for use in polling places and early voting sites. The

Division also promulgated emergency regulations and guidelines on safe voting, voting by mail, and the tabulation of ballots.

In preparation for the 2020 federal elections, the Elections Division worked again with the Federal Voting Assistance Program and local election officials to ensure that military and overseas voters were able to fully participate in the primaries and election. A record number of ballots were cast in the 2020 State Election by Massachusetts citizens residing overseas or deployed on active duty.

As a result of the expansion of voting options, more voters than ever before were able to cast ballots before Election Day. The Elections Division oversaw record turnout in the September 1, 2020 Democratic State Primary and the November 3, 2020 State Election. Of the record 3,657,972 ballots cast in the November 3, 2020 State Election, 41.7% were cast by mail, 23.1% were cast in person during the early voting period, and 35.2% were cast in person on Election Day.

After the State Primaries, the Division received and tallied the results for public offices to determine the candidates for election. Following the State Election, the Division gathered and tallied the results for public offices and ballot questions and prepared materials for the Governor and Council for certification. Certificates of election were sent to those who were elected and the Division organized the meeting of the Electoral College, transmitting the required documents to the United States Senate for the counting of electoral votes and the Inauguration of the new President and Vice President.

Lobbyist Division

One Ashburton Place, Room 1719

Boston, MA 02108

617-727-9122

Email: lob@sec.state.ma.us

Website: www.sec.state.ma.us/lob

The Lobbyist Division is responsible for the oversight and enforcement of lobbyist registration and disclosure reporting. The Lobbyist Division functions to ensure that lobbyists register with this office when required, and that the registered lobbyists and clients fully disclose all information required by the Massachusetts Lobbying Law.

The Lobbyist Division has

- Processed over 9,617 transactions relating to lobbyist registration and disclosures totaling over;
- Collected \$868,168 dollars in fees (includes registration fees and late fees);
- Implemented enhancements to the Lobbyist Registration and Reporting System;
- Responded to a high volume of daily telephone and email inquiries regarding the Lobbying Law and the implantation of stage one and stage two of enhancements to the Lobbying and Reporting System;
- Added one new employee to assist with the high volume of daily telephone calls;
- Responsible for reviewing disclosure reports for compliance with the Lobbying Law, reports filed biannually;
- Coordinated and set up registration and disclosure assistance on a one on one basis for filers.

Massachusetts Archives

220 Morrissey Boulevard
Boston, MA 02125
(617) 727-2816
Email: archives@sec.state.ma.us
Website: www.sec.state.ma.us/arc

Divisional Overview

The Massachusetts Archives, a division of the Office of the Secretary of the Commonwealth, manages, preserves, and makes accessible the permanent, non-current, records of state administration. Such records have been created since colonial times by the legislative, judicial and executive branches – the latter including the governor, other constitutional officers, and state agencies and commissions. Collections at the Massachusetts Archives document the structure and basis of state government, and the basis, form, and function of state law, record keeping, and services.

Accessions

The Massachusetts Archives accessioned 747 cubic feet of records in FY21. Accessioned records at the close of FY21 total 29,926 cubic feet.

Internal Projects and Agreements

Collections Agreements

With final details on a pending agreement between the Massachusetts Archives and the Department of Conservation and Recreation (DCR) nearing completion, the Massachusetts Archives made preparations for the projected transfer of all non-active, permanent records (MDC legacy, DEM legacy, and DCR materials) from the DCR's storage facility in Danvers, MA to the Massachusetts Archives facility on Columbia Point. These materials will be integrated with DCR predecessor agency records previously transferred to the Archives beginning in 1980. Efforts conducted in FY21 included space re-configuration to accommodate the accession, inventory creation, and move planning. It is anticipated that the final transfer will total approximately 4,500 cubic feet of records.

Registries of Deeds

The Massachusetts Archives continued its effort to coordinate with various Massachusetts Registries of Deeds for the accession of their Records Books and Indexes. In FY21 the Archives accessioned approximately 2500 Record Books from the Suffolk County Registry of Deeds, and began planning for future transfers from Worcester and Hampden Counties.

Collaborative Initiatives

Coordinated Statewide Emergency Preparedness Massachusetts (COSTEP MA)

The Coordinated Statewide Emergency Preparedness in Massachusetts (COSTEP MA) network remained active during the reporting period. COSTEP MA organized a number of successful virtual programs, including:

- A virtual Tabletop Exercise (VTTX) facilitated by Lori Foley, Coordinator of the Heritage Emergency National Task Force (HENTF), attended by 3 cultural institutions and 1 local emergency management office
- A self-paced 3-month study course that covered the Incident Command System (ICS)
- A webinar on Pandemic Safety at Cultural Heritage Institutions featuring speakers: Michael Flanagan, Director of the Massachusetts Department of Labor Standards, and Dr. Martin Z. Bazant, E. G. Roos (1944) Professor of Chemical Engineering / Digital Learning Officer / Professor of Mathematics, MIT

Reference Services

The Massachusetts Archives continued to experience the effects of the COVID-19 pandemic in FY 2021, hosting only 400 researchers for in-person visits, 130 of those being first-time researchers with the Archives. However, we continue to assist more people than ever remotely. Reference Archivists hosted multiple group talks over Zoom to discuss researching our collections, and we utilized tools like Instagram to reach a wide audience with video tutorials for accessing digital resources.

Our primary mode of reference assistance has become email correspondence, whether we're guiding patrons through searching collections that have been digitized, sending scans of material that's not available online, or sharing general collection information and discussing research plans for larger projects. The Reference Staff sent almost **6,000 emails** in response to inquiries over the course of the year. We also answered more than **5,000 phone questions**. We received and responded to **1,900 mailed letter requests**, more than half of these being sent from out of state.

We pulled **900 units of archival records** from the vaults in order to research these questions and for on-site researchers, and 1000 reels of microfilm were accessed in our Reading Room.

The Reference Staff certified **3,910 birth, marriage, and death records** for patrons replacing lost copies, applying for dual citizenship, or building family trees. Digitization of the latest increment of vital records, 1921-1925 continued through the Fiscal Year and the collection is still receiving heavy use. Scanning of this five-year increment will finish in FY 2022.

43 architects and preservation planners arranged to view architectural plans at the Archives. An ongoing project to digitize the card catalog to the collection on our Digital Repository is increasing accessibility and providing new opportunities for searching that were not possible before, so we're anticipating even more requests moving forward.

This year the **military archivist** has responded to **403 e-mail reference requests, 12 in-person visits, and numerous phone requests**. This decrease from last year's numbers may be due in part the ongoing pandemic. The military archivist coordinates with the National Guard Historical Services Office on projects relating to unit lineage research and unit histories, and with the military records branch regarding pre-1940s records inquiries. The military archivist also provides research support for the National Guard Museum facility in Concord. Ongoing projects have included the "Braintree Remembers" veteran's history project, and research support for the YD Pilgrimage Studies Project, conducted by a faculty member of Antioch University. The military archivist also continues to assist the archives processing staff with processing the military archives collection.

During FY 2021, the **judicial archivists** responded to more than **2,350 reference requests** and provided more than **2,850 digital reproductions** and photocopies of court documents. These requests assisted patrons in locating records relating to naturalization, divorce, adoption, name changes, and wills for the purposes of genealogical research, dual-citizenship applications, and REAL ID registrations. In partnership with Digital Commonwealth, the archives published an online collection of Sacco and Vanzetti case files in February 2021, **providing access to more than 775 documents** in commemoration of the 100th anniversary of this historically significant trial. Volunteers continued digitizing Suffolk County probate files, working towards **uploading more than 97,000 cases** dating through 1894 to both FamilySearch.org and AmericanAncestors.org, and this project is expected to be completed by FY 2023. Arrangement and description of judicial collections continued in preparation of adding metadata to the Massachusetts Archives Re:Discovery management system, including **55 cubic feet** of Berkshire County Court of Common Pleas files that had been transferred to the archives out of order and more than 1,300 volumes of Court of Common Pleas records across all counties.

Digital Records Program

Staffing

The Digital Records Program experienced a significant staffing change during the reporting period. Veronica Martzahl, Digital Archivist, continued to work remotely as the Digital Archivist from July 1, 2020 to November 15, 2020. During this time, Ms. Martzahl focused her work on records management, digital preservation, and procurement support. In November 2020, Ms. Martzahl departed the Massachusetts Archives after many years of dedicated service. Ms. Martzahl's accomplishments during her tenure include, but are not limited to, founding the Digital program, developing and implementing digital preservation policies, transitioning the Archives from a paper-based catalog to an archival collection management system, and far-reaching work in archival advocacy and outreach.

In November 2020, Alejandra Moutenot transitioned from Assistant Digital Archivist to Digital Archivist. Ms. Moutenot continued to facilitate the ingest of content to the Digital Archives Repository and continued her participation in the office beyond digital preservation by serving as the co-chair of the COSTEP MA Executive Committee, serving on the State Historical Records Advisory Board, and contributing to the Council of State Archivists (CoSA) State Electronic Records Initiative. Ms. Moutenot assumed Ms. Martzahl's

responsibilities for the MA SHRAB, including managing grant awards from the National Historical Publications and Records Commission (NHPRC).

At the close of the fiscal year 2021, the position of Assistant Digital Archivist had not yet been filled.

Digital Archives staff supervised two Digital Interns (Northeastern co-op students) during the reporting period.

Archival Collection Management System (ACMS)

The Archives continued its use of Re:Discovery Proficio for the management of collection data for both physical and digital materials. The process of updating online PDF finding aids on the Archives' website according to a six month review schedule was transitioned to John Hannigan, Curator. The Archives made progress towards its goal of importing box level records for all series into the system by the end of the reporting period. Furthermore, the Archives concluded its barcoding pilot project, which assessed the utility of generating labels encoded with location information for shelves and boxes. Archives staff determined that the labor and resources required to transition to such a system outweighed its potential gains. Instead, the Archives successfully transitioned to utilizing Re:Discovery Proficio for shelf and box labels. This outcome streamlined processing, enabled any Archives staff member to produce labels from their own workstation, and eliminated cataloging redundancies between content management systems. The Archives is currently in the process of facilitating this transition in tandem with ongoing vault reorganizations.

Trusted Digital Repository System (TDR)

The upgrade of the Preservica digital repository to version 6.0 is currently in the process of being scheduled by IT with the Preservica Support team. The repository manages and preserves over 675,360 digital files (an increase from 252,500 during the previous reporting period), including documents, still images, web pages, and videos that are designated as permanent records of the Commonwealth. New collections ingested in this fiscal year include:

- Massachusetts Cultural Council Folk Arts & Heritage collection (years 2008-2016)
- MEMA COVID-19 Response Command Center situation reports
- 1918 Death Certificates
- Records Management Unit newsletters
- Logan Airport Public hearing files, 1970-1986 with transcripts
- Index to Building inspection plans, 1889-1987 (Municipalities A-L)

Digital Archives staff produced complete item-level metadata for the following series:

- Eastern Lands papers Land office correspondence, 1783-1859
- Consolidated card index of Civil War soldiers, 1861-1865 (microfilm rolls 1-10)

- Land study maps, 1936-1943
- Massachusetts Volunteer Militia/National Guard roster cards index

The front-end digital repository (digitalarchives.sec.state.ma.us) received over 9,600 unique users between July 1, 2020 and June 30, 2021, a 54% increase from 5,200 unique users during the previous reporting period.

Versatile Records Retention System

Veronica Martzahl provided extensive support for records management both at the state and municipal levels until her departure from the Archives in November 2020. Ms. Martzahl continued publishing the Records Management Unit newsletter until November 2020 and transitioned this responsibility to John Hannigan, Curator. Responsibilities related to updating the statewide and municipal retention schedules following approved schedule changes from the Records Conservation Board and the Supervisor of Public Records transitioned to Alejandra Moutenot.

Versatile Professional

The Archives retired its pilot project to generate box and shelf labels with barcodes by incorporating archival records into the Versatile Professional system. More information about this process is included in the Archival Collection Management System (ACMS) section above. Versatile Professional continues to support tracking information for record series held in the Records Center.

LABBB C.A.M.P. (Creating Access Metadata Project)

The Archives engaged in a third year of partnering with the LABBB Educational Collaborative to provide a transitional work experience for young adults with special needs. The project employed 11 students who created metadata for over 21,000 architectural plans index cards during the reporting period.

Outreach

Digital Archives staff conducted digital preservation and records management outreach to local, state, and national audiences, including presenting for multiple Massachusetts History Alliance Conversation on the Commons webinars, presenting for a Massachusetts Library System webinar, participating in an Email Archiving Hackathon hosted by the North Carolina State Archives, and participating in a Boston Office of Emergency Management Hazard Mitigation Team focus group.

Massachusetts Historical Commission

220 Morrissey Boulevard
Boston, Ma 02125-3314
(617) 727-8470
Email: mhc@sec.state.ma.us
Website: www.sec.state.ma.us/mhc

The Massachusetts legislature established the Massachusetts Historical Commission in 1963 to identify, evaluate, and protect the significant historic and archaeological assets of the commonwealth. The MHC is the state historic preservation office (SHPO) and the Office of the State Archaeologist and has a staff of architectural historians, preservation planners, historians, architects, geographers, and archaeologists distributed among three divisions: preservation planning, technical services, and grants.

The Preservation Planning Division and the State Archaeologist maintain the Inventory of Historic and Archaeological Assets of the Commonwealth, which is the foundation for most preservation activities. Staff of the Preservation Planning Division act as liaison to local governments to help with local preservation initiatives such as local historic districts, preservation bylaws, local historical commissions, and the Certified Local Government program. The MHC administers the National Register program in Massachusetts and is a national leader in nominating properties. The Preservation Planning Division maintains the State Register of Historic Places, which is the master list of all designated properties in the Commonwealth.

When funds are available the MHC's grants division administers the Massachusetts Preservation Projects Fund, a matching grant program for historic and archaeological properties owned by municipalities or nonprofit organizations. Survey & Planning grants provide matching federal funds to Certified Local Governments and other qualifying organizations for preservation projects including preparing community architectural and archaeological surveys, preservation plans, historic district design guidelines, and National Register nominations.

The Technical Services Division manages both the Federal Investment Tax Credit program and State Historic Rehabilitation Tax Credit. As the SHPO, the MHC consults with federal agencies in reviewing federal projects for their effects on significant historic and archaeological properties. The MHC has similar authorization under state law to comment on projects that are licensed, permitted, or funded by a state agency.

The State Archaeologist oversees archaeological excavations on public lands and issues permits for excavations to ensure that archaeological resources are properly excavated and conserved. The State Archaeologist sponsors Massachusetts Archaeology Month every October and oversees the curation and exhibit of archaeological collections through the Commonwealth's Archaeological Curation Center at the MHC.

The Massachusetts Historical Commission (MHC) carried out its mission and statutory responsibilities in state FY2021.

Survey, Preservation Planning, and Local Government Assistance

Ongoing enhancements to the MACRIS (Massachusetts Cultural Resources Information System) on-line database continue to improve the public's ability to search and access MHC's state-wide inventory of historic properties via the internet. In FY21, MHC continued to create and link digital-format versions of new and updated inventory forms and National Register nominations to the searchable MACRIS on-line database as they are received and processed into MHC files. MHC also continued to update its statewide Geographic Information System (GIS) data on the location of historic properties and archaeological sites in the statewide inventory, and to make this data publicly accessible through its GIS web site, MACRIS Maps, with access to protected archaeological site data available to staff and approved authorized external users only.

During FY21, assistance to city and town governments, in particular, the local historical commissions, historic district commissions, and local historic district study committees, was provided regularly throughout the year via phone and email. In response to the ongoing pandemic, training workshops continued as virtual meetings via Zoom. . Between August 2020, and March 2021, 28 workshops were presented. Workshop topics included: Introduction to Historic Preservation Planning, Establishing Local Historic Districts, Preparing a Preservation Plan, Alternative Materials and Local Historic Districts, Outreach and Community Engagement, and the Secretary of the Interior's Standards and Local Historic District Design Guidelines. Average attendance was 12-14 for each workshop. Several of the workshops were held in cooperation with Preservation Massachusetts and/or regional planning commissions. In addition, MHC staff participated in weekly virtual conversations hosted by Preservation Massachusetts, which were largely attended by local historical commission members. Local Historic Districts in the municipalities of Alford, Boston, Brookline, Duxbury, Lincoln, Medfield, Medford, and Springfield were reviewed for consistency with state law and office guidelines. Office project involvement included a design guidelines update project for the City of Salem, a guidebook underway on the building code, and reviewing the application from the Town of Nantucket to become a Certified Local Government.

Survey and Planning Grants

In FY21, MHC staff successfully managed 15 projects representing a pass-through of \$229,375 in matching federal funds to local communities in the federal FY20 statewide Survey & Planning Grant round, representing 14 neighborhood and communitywide historic properties surveys, and one design guidelines update project. In addition, MHC awarded 15 new projects representing a pass-through of an additional \$255,450 in matching federal funds to local communities in the federal FY21 Survey & Planning Grant round, including 14 neighborhood and communitywide historic properties surveys, and one communitywide historic preservation plan project.

National Register of Historic Places

MHC's National Register of Historic Places program continued to maintain a high level of new designation activity and continued to fund the editing and preparation of National Register nominations. During State FY21, 22 new nominations were brought to the State Review Board, including National Register districts

in Boston, Duxbury, Leominster, and Montague. For Lenox, this was the community's first nomination of a village center. Also among the nominations were the Mayflower II, a replica of the Pilgrims' ship recently repaired and returned to Plymouth, the nomination for which was partially funded by MHC; the Myles Standish Park and Myles Standish House Site, a nationally significant property as the site of the house of Myles Standish, military advisor for Plymouth Colony who arrived with the Pilgrims on the Mayflower; and the Lucy Stone Home Site, location of the birthplace of Lucy Stone—a nationally prominent women's rights activist and abolitionist during the second half of the 19th century—a property with which she had a lifelong association. One nomination, Evergreen Cemetery in Medway, was a Survey & Planning Grant project. The nomination helped to document a significant collection of stones by a regionally prominent carver, Joseph Barbur (1731–1812), known as the “Fronde Carver of West Medway.” In Otis, the designation of the East Otis Schoolhouse marked the first National Register listing in the town.

State Historic Rehabilitation Tax Credit

The state tax credit for rehabilitation of historic properties was originally implemented in FY04 and has continued into FY21. The state tax credit program had been extended by the Legislature to expire December 31, 2022. The annual cap of \$50 million was increased to \$55 million a year under Chapter 99 of the Acts of 2018 Sections 10 and 18, which was enacted into law in May 2018. This program operates on the calendar year (tax year), during which there are three application cycles (in January, April, and August). The MHC reviewed 651 applications in State FY21 (Rounds 49, 50, and 51). In Round 51, the total requests amounted to over \$357 million in state historic tax credits, which was not possible to award because of the annual cap.

Federal Historic Rehabilitation Tax Credit

The MHC, as the office of the State Historic Preservation Officer, reviews and comments on applications made for federal historic rehabilitation tax credits, and forwards the applications to the National Park Service with written recommendations. The MHC reviewed 68 new federal tax credit projects during federal fiscal year 2021 (October 1, 2020 – Sept. 30, 2021).

Review and Compliance

The number of projects reviewed in Review and Compliance continues at high levels. As the office of the State Historic Preservation Officer, the MHC continued its review in a timely manner of projects funded, licensed, or permitted by federal agencies in compliance with Section 106 of the National Historic Preservation Act (36 CFR 800). Similarly, the MHC continued its review of state projects under the state historic review regulations (950CMR71) in a time-sensitive manner. End-of-the year statistics of the number of projects reviewed by MHC are compiled on the federal fiscal year. The MHC reviewed 3,223 federal projects and 8,146 state projects between October 1, 2020 and September 30, 2021.

Preservation Restrictions

MHC staff continued to review, comment on, and approve preservation restriction agreements under the statutory authority of M.G.L. Chapter 184, section 32. The volume of preservation restriction agreements requiring approval remains high, particularly as municipalities require protective restrictions as a condition of the awarding of local Community Preservation Act grants, and of the granting of local variances and permits in a variety of planning, zoning and development contexts involving historic properties and sites. MHC continued to provide technical assistance to property owners, municipalities, and non-governmental restriction-holding organizations on issues related to the development of preservation restrictions.

Massachusetts Preservation Projects Fund

For State FY21 (MPPF Round 26), the MHC received 33 applications with total requests for funding of \$2 million. Actual awards for MPPF Round 26 and FY21 Emergency MPPF combined were 27 projects totaling \$1.1 million. Due to the COVID-19 public health emergency, ANF approved a one-time change in policy. The capital spending projects delayed in FY20 were extended and completed in FY21. State FY22 (Round 27) is the next year of MPPF funding pending authorization.

Archaeology

The MHC, as the office of the State Archaeologist, continued to oversee archaeological excavations in the state, issue State Archaeologist's permits to qualified professional archaeologists, and manage the curation of state-owned archaeological collections. The MHC has recognized the success of organizing Archaeology Month as an appropriate venue for educating the public about archaeology. October 2020 was designated Archaeology Month. Because of the Covid-19 pandemic and limitations on in-person gatherings, Archaeology Month was celebrated by posting archaeological information on MHC's website, including links to 8 virtual events at various organizations across the state.

In addition, MHC's website continues to maintain "MHC's Archaeological Exhibits Online" found at: www.sec.state.ma.us/mhc/mhcarchexhibitsonline/ and additional archaeology resources and popular reports at <http://www.sec.state.ma.us/mhc/mhcarch/archidx.htm> .

Public Records Division

One Ashburton Place, Room 1719
Boston, MA 02108
(617) 727-2832
Email: pre@sec.state.ma.us
Website: www.sec.state.ma.us/pre

The Public Records Division consists of a Legal Section, Boards and Commissions Section and a Records Management Unit. The Legal Section assists the Supervisor of Records in administering the Massachusetts Public Records Law. The Legal Section also reviews requests for authorized use of the Great Seal of the Commonwealth as well as its Coat of Arms. The Boards and Commissions Section maintains records of governor appointments, certifies official signatures, administers oaths of office and files information submitted by clergy and other officiants seeking authorization to solemnize marriages in the Commonwealth. The Records Management Unit assists cities and towns in the Commonwealth on issues associated with retention and storage of government records.

Legal Section

Under the authority of the Supervisor of Records, the Legal Section annually:

- Processes and opines on appeals from petitioners denied access to government records by state and municipal agencies, including follow-up after closing each administrative appeal;
- Answers thousands of questions each year involving interpretation of the public records statutes and regulations; and
- Provides training to government employees and their agents throughout Massachusetts.

The Boards and Commissions Section

- The Boards and Commissions Section annually:
- Tracks the appointments of notaries public in Massachusetts;
- Administers the oaths of office to notaries, justices of the peace and other state appointments;
- Maintains records related to appointments to various boards and commissions;
- Prepares certifications of official signatures;
- Reviews and accepts information by in-state and out-of-state clergy requesting authorization to solemnize marriages in the Commonwealth, as well as one day solemnizations; and
- Keeps certain records of city and town clerks, local options, housing and redevelopment authorities and commissioners to qualify.

The Records Management Unit

The Records Management Unit operates under the authority of the Supervisor of Records, assisting state and local government entities in creating, managing, securing, and preserving records needed to conduct business and protect the rights and obligations of citizens and government.

Annual Update – July 1, 2020-June 30, 2021

What follows is a summary of some of the accomplishments and initiatives of the Public Records Division.

The Legal Section

- Issued over 2,900 determinations concerning access to public records;
- Opened and resolved 311 petitions from records access officers relating to fees, time extensions or relief of the obligation to provide records;
- Led seminars concerning the Public Records Law to government offices and associations;
- Issued 3 advisories on the proper use of the State Seal, Coat of Arms and Flag of the Commonwealth;
- Received and filed 16 Security Breach notifications from state agencies pursuant to chapter 93H of the General Laws;
- Reviewed and provided comments to the legislature and its committees on draft legislation;
- Received filings from 118 different state agencies containing information about 13,320 public records requests received by these state agencies.

The Boards and Commissions Section

- Received:
 - \$806,185 in connection with Notary Public registrations, verifications and name changes;
 - \$497,682 in connection with certification of documents;
 - \$14,000 in connection with Justice of the Peace registrations; and
 - \$176,610 in connection with Solemnizations to Perform Marriage
- Certified over 8,800 One Day Solemnization applications through the online One Day Solemnization application system.

The Records Management Unit

- Provided on-site record management trainings or conducted records management and security surveys for municipalities;
- Provided records management trainings at meetings of municipal officers associations;

- Provided assistance to Public Records Division staff attorneys during public records request appeals investigations as well as follow-up services after resolution of the appeal including records management trainings or surveys;
- Provided assistance to municipal officials seeking to dispose of public records, approving hundreds of appropriate requests for destruction of records;
- Provided records disposition, recovery, and preservation assistance to numerous communities following flooding, burst pipes, minor fires, vermin and mold infestations;
- Provided preservation assistance; and
- Provided support for activities of the Coordinated Statewide Emergency Preparedness (COSTEP) joint initiative.

Registries of Deeds

One Ashburton Place, Room 1710
Boston, MA 02108
(617) 727-7089
Website: www.sec.state.ma.us/rod

The Secretary's responsibility over the Registries of Deeds includes general direction, operational procedures, and budgetary oversight subject to appropriation. The following 13 Registries of Deeds act under the auspices of the Secretary of the Commonwealth: Northern Berkshire, Middle Berkshire, Southern Berkshire, Northern Essex, Southern Essex, Franklin, Hampden, Hampshire, Northern Middlesex, Southern Middlesex, Suffolk, Northern Worcester, and Worcester.

The Register of Deeds is responsible for maintaining a permanent, public record of all property drawn legal documents submitted by the public relative to real estate, including deeds, mortgages, surveyor and architect plans, liens, certificates of title and other records affecting title of property. The Register of Deeds is an elected official with a term of six years, and by virtue of the office is also an Assistant Recorder of the Massachusetts Land Court. All deed transactions recorded in the Land Court section of the Registry of Deeds pertain to registered land, the title of which is insured by the Commonwealth.

- FY 21 Gross Revenue to General Fund: \$218,819,180.74.
- Registries continue to remain open for business during Covid. Both remotely and in person.
- Electronic recording have stayed above the 80% mark except in some Western MA areas.
- We have pivoted our VPN/Laptop rollout into our Business Continuity Plans.
- Continue to adapt our workplace protocols to meet CDC guidelines for workplace safety.
- Upgrading software across the 3 levels of Deeds recordings.
- Patching done on a monthly level to meet with Homeland Security best practices.
- Secured public terminals.
- Implemented Security Protocols across the ROD network.
- Business Continuity Plans have been expanded and utilized this fiscal year.
- Continued to focus on keeping Registries functional and our employees and the public safe.

Securities Division

One Ashburton Place, Room 1701

Boston, MA 02108

(617) 727-3548, Toll Free: 1-800-269-5428 (in Massachusetts only)

Email: securities@sec.state.ma.us

Website: www.sec.state.ma.us/sct

Corporate Finance Section

Number of Total Filings 32,913

Total Fee Amount \$35,919,435.71

Exemption Filings

Type	Number	Fee Amount
14.402(B)(13)(i)	24	\$14,500.00
14.402(B)(13)(l)	6386	\$3,682,600.00
402(b)(9)(B)	13	\$5,050.00
Total	6,423	\$3,702,150.00

Notice Filings

Type	Number	Fee Amount
Closed End - Electronic	52	\$28,950.00
Closed End - Paper	188	\$118,080.62
Face Amount Certificate Company - Paper	1	\$1,250.00
Open End - Electronic	10,640	\$13,693,750.00
Open End - Paper	13,027	\$17,062,500.00
Unit Investment Trust	1445	\$1,083,750.00
Total	25,353	\$31,988,280.62

Registration Filings

Type	Number	Fee Amount
By Coordination	116	\$166,700.00
By Qualification	85	\$60,505.09
None	2	\$1,800.00
Total	203	\$229,005.09

U-2 Filings

Type	Number	Fee Amount
None	1,137	
Total	1,137	

Registration, Inspections, Compliance & Examinations (RICE) Section

RICE Staff: 7 (*two attorney positions have not been filled as of 7/1/21)

Examinations

Investment Adviser Examinations	Number
Total State-Registered Investment Advisers Examinations Conducted	29
Total Assets Under Management Examined	\$1,126,021,847

Registrations

Broker-Dealer Firms	Number
Broker-Dealer Firms	1,920
Broker-Dealer Firms with home address in Massachusetts	124

Non-FINRA Broker-Dealer Firms	Number
Non-FINRA Broker-Dealers	2
Non-FINRA Broker-Dealer Agents	10

Broker-Dealer Agents	Number
Total Broker-Dealer Agents	199,272
Broker-Dealer Agents Residing in Massachusetts	15,880
Dually Registered Broker-Dealer Agents & Investment Adviser Representatives Residing in Massachusetts	4,667

State-Registered Investment Adviser Firms	Number
Total State-Registered Investment Adviser Firms	867
State-Registered Investment Adviser Firms with home address in Massachusetts	660

Notice Filed Investment Adviser Firms	Number
Notice Filed Investment Adviser Firms	2,805
Notice Filed Investment Adviser Firms with home address in Massachusetts	610

Exempt Reporting Advisers (ERA)	Number
Total ERAs	301
ERAs with home address in Massachusetts	254

Investment Adviser Representatives (IAR)	Number
Total Investment Adviser Representatives	11,081
Investment Adviser Representatives Residing in Massachusetts	7,414
Investment Adviser Representatives Registered with State-Registered IA Firm	1,236
Investment Adviser Representatives Registered with Notice Filed IA Firm	9,975

Issuer Agents	Number
Issuer (Firms) With Agents	29
Terminated Issuer (Firms)	4
Issuer-Agents	74
Terminated Issuer-Agents	8

Registration Revenue

Financial Entity	Dollar Amount
Broker-Dealer Firms	\$901,800
Broker-Dealer Agents	\$17,453,500
<i>Total Broker-Dealer Revenue</i>	\$18,355,300
Investment Adviser Firms	\$1,260,300
Investment Adviser Representatives	\$651,600
<i>Total Investment Adviser Revenue</i>	\$1,911,900
Total Registration Revenue	\$20,267,200

Enforcement Section

Enforcement Staff: 10

Issue	Total Number
Complaints	379
Inquiries & Referrals	283
Investigations	96
Inquiries (closed)	120
Investigations (closed)	51
Complaints filed	7
Consent Orders filed	7
Fines	\$720,249.22
Total Restitution	\$420,680.99

State House Tours Division

State House, Room 194

Boston, MA 02133

(617) 727-3676

Email: mastatehousetours@sec.state.ma.us

Website: www.sec.state.ma.us/trs

The mission of the State House Tours Division, pursuant to the Massachusetts General Laws, in the Acts of 1968, Chapter 714 is to provide for guided tours of the Massachusetts State House.

The Tours Division offers two distinct guided tours – the general architectural/historical tour, and the legislative process tour. We can do highlight tours catering to special needs, international visitors or other related requests.

The Tours Division serves as a central information desk and phone line for visitors and citizens regarding Boston or State House history and local tourist information, resources and information on state government and the various government agencies. We provide various brochures on related topics and foreign language translations as well as large print and braille translations. Based on updated visitation trends to Boston we added a new written translation of our tour in Korean. We also recently added a new translation in Armenian.

The Tours Division administers a thriving volunteer program which trains volunteer guides- both adults and students- how to conduct tours and serve as a liaison between legislators and their constituents.

During the time period in question The Massachusetts State House was closed to the public due to the Covid-19 pandemic. Our volunteer program was shut down out of an abundance of caution. Our staff was able to do research and produce content to be included on our website for visitor outreach such as historic articles for the Guides Gazette and audio-visual content to allow visitors to experience a virtual tour and a 360 degree tour. In April of 2021 we began offering “exterior tours” and meeting visitors and school groups outside in Ashburton Park for a 20 minute tour of the memorials and the history of the building from the outside looking in. We created a new script and brochure with QR codes for visitors experiencing the tour from the outside. We created photo tours to add to our website as well. We continued to staff the information phone lines often being the only human voice and not an automated line to refer citizens to the proper state resources.

The 2021 Visitation for the State House Tours Division was approximately 1,500 people. This represents a huge decrease from the previous year. This includes only a few student groups from MA and surrounding areas, and mostly United States visitors, citizens and special guests. Some tours for legislative interns or special guests were conducted inside, however there was no access to either legislative chamber.

State Publications and Regulations Division

State House, Room 117

Boston, MA 02133

(617) 727-2831

Email: regs@sec.state.ma.us

Website: www.sec.state.ma.us/spr

The State Publications & Regulations Division is comprised of the Regulations section and the State Bookstore.

The Regulations section edits and publishes the Code of Massachusetts Regulations while also publishing the Acts & Resolves, the *Massachusetts Register* and the two publications for state, county and local government bid notices entitled the *Goods & Services Bulletin* and the *Central Register*.

The State Bookstore sells all the state regulations (CMR) and many other state publications including election statistics, environmental documents and a state register of historic places. It also sells various Massachusetts themed souvenirs to accommodate the thousands of tourists who visit the state house each year.

The Central Services office is the in-house digital printing operations and central mailing office for the Office of the Secretary of the Commonwealth. It is where all the regulations and other state publications sold in the Bookstore are printed. It also prints among other items Corporations forms, renewal letters, notary renewals for Commissions, Securities brochures and educational pamphlets, and all of the brochures and booklets such as the Veterans' Laws and Benefits Guide made available to the public by the Citizen Information Service.

Highlights/Accomplishments of FY21

- Edited and published 278 regulations filed by various state agencies.
- Published the 2019 Acts & Resolves hardbound edition.
- FY21 revenue for the Bookstore's online transactions increased 4.8% from the previous FY.
- FY21 revenue sales for the state building code increased 20% from the previous FY.

Significantly upgraded equipment in Central Services with new Ricoh Pro C53015 color digital printing machine.

***It is important to note that due to the COVID 19 pandemic, the State House was closed to visitors during the entire FY21 which affected the revenues of the State Bookstore to some extent.

Regional Offices

Southeastern District Office

218 South Main Street, Suite 206

Fall River, MA 02721

(508) 646-1374

Email: isabel.kochman@sec.state.ma.us

Website: www.sec.state.ma.us/wso

The Southeastern District Office continually strives to provide excellent service to the citizens of MA on a wide variety of tasks. Below is a list of services provided by this office:

Elections

- State election candidate information
- Provide nomination papers to candidates
- Filing of certified nomination papers
- Election laws and statistics
- Provide voter registration services
- Organize and participate in voter registration drives at area high schools

Corporations

- Good Standing Certificates
- Legal Existence Certificates
- Various Certificates
- Certified Copies
- Name Reservations
- Corporate database search upon request

Public Records

- Administer the oath of office to public officials, notaries, justices of the peace and governor appointees
- Certify signatures of public officials and affix apostilles and certifications to documents for foreign and domestic use

State Bookstore

- Sale of books and publications of the laws and regulations of MA (Code of Massachusetts Regulations & the Massachusetts General Laws)
- Provide and maintain current state publications

Citizens Information Services

- Handle incoming calls and requests for information regarding other state offices and agencies
- Provide free publications on various subjects of public interest and general information

The office also performs and assists at Naturalization swearing-in ceremonies in Bristol County.

The goal of the Southeastern District Office is to continue to provide the citizens of Massachusetts with the most updated information alongside excellent and prompt service whether by mail, phone, e-mail, or in person. We continue to improve our suite of services to make the office of the Secretary of the Commonwealth as user-friendly as possible.

Western District Office

436 Dwight Street, Room 102

Springfield, MA 01103

(413) 784-1376

Email: cathy.molta@sec.state.ma.us

Website: www.sec.state.ma.us/wso

Mission: To make the services of state government more accessible in a location convenient for residents of Berkshire, Franklin, Hampden, Hampshire, and western Worcester counties.

Public Records:

The Western Office administers the oath of office to public officials, notaries public, and justices of the peace. This office also certifies the signatures of public officials and affixes apostilles and certifications to documents going out of the country.

Corporations:

The Western Office provides **information over the phone** and in person about business entities conducting business in Massachusetts. This data includes the date of incorporation, location, and the names of the officers. This office also provides **certificates of Good Standing, Legal Existence, and Certified Copies as well as Name Reservations for Corporate Entities.**

Elections:

The Western office provides state election candidate information, nomination papers for those seeking office, election laws and statistics, and “how to” pamphlets on election procedures. The office accepts nomination papers for filing from candidates seeking state offices. Voter registration forms are also available.

State Bookstore:

The Western office has several publications available for purchase as well as many informational pamphlets that are free of charge. The office also maintain a current copy of the Code of Massachusetts Regulations.

Citizen Information Service:

The Western office responds to phone calls and e-mail requests regarding many aspects of state government. In addition, the office provides people with contact information and referrals to state agencies and programs, and helps them find the proper office to help resolve their state government related inquiries.

Outreach:

The Western Office conducts voter registration drives at various events in Western Massachusetts.