



Secretary of the Commonwealth Annual Report

Fiscal Year 2016



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 2016 Annual Report for my office. I am pleased to report that the office has taken in, on behalf of our citizens, over \$304 million in revenue. Fiscal year 2016 has continued to be challenging for the Commonwealth. A drop in economic activity has not slowed the number of citizens who need assistance regarding mortgage foreclosure, homestead information, investments, Census, access to public records, voting and historic preservation.

I hope that you have the opportunity to review fully the achievements of this office on behalf of the Commonwealth. For your convenience I have highlighted some of the statistics of this agency. The Corporations Division for 2016 notified over 39,116 domestic and foreign corporations, LLC's and limited partnerships that they were delinquent in filing annual reports. As a result of this work by the staff, 23,246 delinquent reports were filed generating over \$6.9 million in revenue for the Commonwealth. Additionally, over 1300 domestic and foreign corporations and LLC's were dissolved or revoked previously, filed reinstatements with the Corporations Division. These reinstatements required the filing of over 10,552 annual reports, generating an additional \$3,116,875. The total revenue generated from dissolution projects in this fiscal year was \$10,029,475.

During FY 2016, the Elections Division administered the 2016 Presidential Preference Primary in which a record number of ballots were cast, 1,863,339 ballots. In addition to the Presidential Primary, the Elections Division also administered seven special primaries and elections, including three state senate elections and four state representative elections. The Elections Division also began preparations for the 2016 State Primary and State Election. This included 10,185 candidates printed on 659 ballot styles.

The Commonwealth Museum saw nearly 7,000 students visit the museum located in the Archives Building at Columbia Point for field trips. The Archives Division had over 5,000 researchers visit the Archives and 1,900 researchers received assistance through correspondence. The passenger manifest database project has seen incredible progress over the last year, with the total number of entries up to over 600,000. The Archives online databases continue to help ease and improve the public's access to the public records housed at the Archives.

In FY 2016 the Massachusetts Historical Commission (Division) reviewed over 9,527 state projects and 3,025 federal projects. Ongoing enhancements to MACRIS (Massachusetts Cultural Resources Information System) on-line database continues to improve the public's ability to search and access MHC's state-wide inventory of historic properties via the internet.

The Public Records Division for FY2016 opened 896 appeals and resolved 1066 appeals on behalf of our citizenry. The lobbying section of the office processed over 7,300 transactions relating to lobbyist registration and disclosure totaling over \$745,000 dollars in fees. These were just a few of the highlights regarding this office. For more information please take a few minutes to read the information, by division, in this Annual Report.

Whatever the need or the question our staff continues to provide information and direction to our citizens. If you need assistance don't hesitate to call this office on our toll free number at 1-800-392-6090 where your call will be answered by a staff person.

Very truly yours,

A handwritten signature in blue ink, appearing to read "W. Galvin", written over a white background.

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; 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	\$6,383,101
0511-0001 For the secretary of the commonwealth, who may expend revenues not to exceed \$15,000 from the sale of merchandise at the state house gift shop for the purpose of replenishing and restocking 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 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.....	\$353,076
0511-0200 For the operation of the archives division	\$365,557
0511-0230 For the operation of the records center.....	\$35,660
0511-0250 For the operation of the archives facility.....	\$297,068
0511-0260 For the operation of the commonwealth museum	\$233,268
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	\$400,000
0511-0420 For the operation of the address confidentiality program.....	\$136,985
0517-0000 For the printing of public documents.....	\$509,280
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, prior appropriation continued.	\$7,200,000

0521-0001 For the operation of the central voter registration computer system; provided, that an annual report detailing voter registration activity shall be submitted to the house and senate committees on ways and means not later than February 2, 2016.....	\$5,100,000
0524-0000 For providing information to voters	\$322,832
0526-0100 For the operation of the Massachusetts historical commission; provided, that not less than \$100,000 shall be expended for the rehabilitation of the State Theatre in the town of Stoughton; and provided further, that not less than \$85,000 shall be expended for critical safety repairs at the Forbes House Museum in the town of Milton.....	\$1,127,145
0527-0100 For the operation of the ballot law commission.....	\$10,385
0528-0100 For the operation of the records conservation board.....	\$36,400
0540-0900 For the registry of deeds located in the city of Lawrence	\$1,236,574
0540-1000 For the registry of deeds located in the city of Salem.	\$2,810,111
0540-1100 For the registry of deeds located in the county of Franklin	\$622,985
0540-1200 For the registry of deeds located in the county of Hampden	\$1,752,598
0540-1300 For the registry of deeds located in the county of Hampshire	\$549,137
0540-1400 For the registry of deeds located in the city of Lowell	\$1,153,155
0540-1500 For the registry of deeds located in the city of Cambridge	\$3,176,849
0540-1600 For the registry of deeds located in the town of Adams.....	\$267,134
0540-1700 For the registry of deeds located in the city of Pittsfield	\$456,131
0540-1800 For the registry of deeds located in the town of Great Barrington.....	\$227,398
0540-1900 For the registry of deeds located in the county of Suffolk	\$1,806,290
0540-2000 For the registry of deeds located in the city of Fitchburg	\$678,853
0540-2100 For the registry of deeds located in the city of Worcester	\$2,233,096

Year – End Revenue for Fiscal 2016

Revenue was broken down into (4) categories for a total of.....	\$336,314,475.03
Corporations, Archives, Public Records.....	\$107,076,999.17
Gift Cart, Bookstore.....	\$362,627.21
Securities.....	\$64,299,746.43
Registries of Deeds	\$164,575,102.22

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, nearly 1,400 participants have benefited from services provided by the Program.*

Between July 1, 2016 and June 30, 2017, the program certified 36 new participants. As of June 30, 2017, the Program's 337 active participants included 161 women, 4 men and 172 children. The ACP processed approximately 3,000 pieces of mail each month.

*As of date of report: 7/31/2017

Counties Represented

Barnstable	4
Berkshire	0
Bristol	19
Essex	50
Franklin	2
Hampden	18
Hampshire	9
Middlesex.....	112
Norfolk	26
Plymouth	17
Suffolk.....	41
Worcester	39
Total Participants	337

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 2016 – 2017 include:

- The Division notified 39,116 domestic and foreign corporations, LLCs and limited partnerships that they were delinquent in filing annual reports with the Division. As a result, 23,246 annual reports were filed with the Division, generating, \$6,912,600.00. Additionally, over 1300 domestic and foreign corporations and LLCs, dissolved or revoked previously, filed reinstatements with the Division. These reinstatements required the filing of over 10,552 annual reports, generating an additional \$3,116,875.00. The total revenue generated from dissolution projects in this fiscal year is \$10,029,475.00.
- 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 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 almost 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.
- Over 37,277 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 and federal elections; provides information on voting; and supplies election materials to the public, candidates, and government officials.

During FY 2016, the Elections Division successfully administered the 2016 Presidential Preference Primary, in which a record number of ballots were cast. Preparations for the Presidential Primary included the distribution and processing of nomination papers for party ward and town committees, party state committees, and presidential candidates. The Elections Division prepares and prints ballots for each city and town in the Commonwealth for the Presidential Primary. Preparation of these ballots is particularly time consuming because of the volume of names since each ward or town can have between three and thirty-five candidates for each committee for each political party. In total, the Elections Division printed 10,185 candidates on 659 different ballot styles.

To ensure that Massachusetts citizens who were serving in the armed forces or residing overseas would be able to participate in the March 1, 2016 Presidential Preference Primary, the Elections Division coordinated with the Federal Voting Assistance Program and local election officials. In total, a record 1,863,339 ballots were cast in the Presidential Primary. The Elections Division compiled and published the certified results of the Presidential Primary from 351 municipalities and transmitted those results to the political parties.

In addition to the Presidential Primary, the Elections Division also administered seven special primaries and elections, including three state senate elections and four state representative elections.

The Elections Division also began preparations for the 2016 State Primary and State Election, which included the preparation of a candidate's guide, printing of nomination papers and certification of candidates. Those offices appearing on the ballot in 2016 were Electors of President and Vice President, Representative in Congress, Governor's Councilor, State Senator, State Representative, and Sheriff as well as other district and county offices. During FY 2016, candidates for the above offices submitted the necessary paperwork to the Elections Division, which certified their names for ballot placement. The Elections Division further prepared and published lists of candidates for the State Primary during FY 2016.

Throughout FY 2016, the Elections Division prepared and processed initiative petitions for twenty proposed ballot questions. The Division counted 631,657 signatures submitted for eleven potential ballot questions.

Other activities conducted by the Elections Division in FY 2016 included training local election officials and poll workers, preparing and providing other election materials, including forms and envelopes, to local election officials as required by law.

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 7,300 transactions relations to lobbyist registration and disclosures totaling over;
- Collected over \$745,000 dollars in fees (includes registration fees and late fees)
- Performed an update and enhancements on the Lobbyist Registration and Reporting System leading to increased transparency;
- Worked with IT to ensure the continuous integrity of the Lobbyist System;
- Rendered 1 advisory opinion's concerning the Lobbying Law;
- Responded to a high volume of daily telephone and email inquiries regarding the Lobbying Law;
- Updated the development of the Lobbyist User Guide, currently in the six edition;
- Responsible for reviewing over 7,300 disclosure reports for compliance with the Lobbying Law, reports filed biannually;
- Regularly analyzed up to 25 different reports for review by the Secretary and
- Coordinated and set up registration and disclosure assistance on a one on one basis.

Massachusetts Archives

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

The Archives accessioned 103 cubic feet of records from state agencies in FY2017. At the end of FY2017, our total volume equaled 29,909 cubic feet of records.

Divisional Overview

Internal Projects and Collaborative Initiatives

New Vault Construction Project

In November 2014, a design team from the firm of DiMella Shaffer began working with DCAMM and representatives from the Massachusetts Archives to evaluate the programmatic and design parameters that would be required to convert some of the current space utilized by the State Records Center (SRC) into climate-controlled archival storage space.

The scope of the project includes improvements to current building systems within the renovated portions of the SRC (HVAC, electrical, fire protection, security, etc) that will serve the added archival storage space and include integration of those systems with the systems now serving the building. The work will also provide code-mandated improvements to the egress points relative to the new storage area, as well as accessibility upgrades required for ADA compliance.

Completed Construction Document Plans and Specifications for the project were approved in August, and the bidding process has commenced. Tentative schedules project on-site construction to commence sometime in November. Project duration is expected to be 8 to 10 months.

In anticipation of the coming construction, work is ongoing to fully prepare the area within the State Records Center proposed for conversion. A new automated records management system that utilizes integrated barcode technology has also been procured and implemented (Zasio Versatile Professional) to more effectively organize and manage records currently within the SRC. The Archives/SRC staff has worked closely with agencies (AGO, DCF, DIA, County DA Offices, etc.) to efficiently and accurately transfer records slated for re-location to commercial vendors of their choosing.

Municipal Clerks Archival Education Program

The Massachusetts Archives has partnered with the Massachusetts Board of Library Commissioners, Simmons College, and the Massachusetts Town Clerks Association to create and deliver a web-based training initiative designed for Municipal Clerks. The three-year planning and implementation process, funded by the National

Historical Publications and Records Commission (NHPRC), has produced an educational framework and model curriculum for the archival records administration education for Municipal Clerks. The program utilizes a two-tiered (Beginner and Advanced) approach focusing on the collection, management, housing, accessibility, and advocacy of archival municipal records.

Initial offerings of both the Beginner and Advanced modules have been issued, with follow-up activity underway to bring each component to completion. Agreements have been established to continue the program with the Northeast Document Conservation Center supplanting Simmons College as the organization charged with systems delivery and oversight. New offerings of the modules are expected to commence in the Spring of 2018. The program is also being offered on a national scale through a partnership with the Society of American Archivists.

Collaborative Training for the Cultural Heritage and Emergency Response Communities

To help cultural heritage institutions become more resilient to natural disasters and other events that can irreparably damage collections, the Commonwealth received a grant from the NEH – Finding Common Ground: Collaborative Training for the Cultural Heritage and Emergency Response Communities. The Massachusetts Archives served as an initial partner, and will function in a support and advisory capacity. This project sets out to bring first responders together with members of the cultural heritage community in their community in an effort to protect humanities collections and municipal records following a disaster.

With an objective to foster cooperation and collaboration between local cultural institutions, local first responders, municipal administrations, and the local emergency management agencies, a series of 5 free workshops, jointly taught by preservation and firefighting professionals, will address risk assessment, disaster planning, and disaster response. The program is designed to culminate in a live burn and salvage exercises at the MA Department of Fire Services facilities, allowing both communities to experience firsthand the challenges of fighting a fire and recovering collection.

Coordinated Statewide Emergency Preparedness Massachusetts (COSTEP MA)

The Massachusetts Archives continues to be a lead partner in COSTEP MA, a state-wide collaborative that brings together a wide-variety of cultural heritage institutions and custodians with federal, state, and local emergency managers to safeguard the Commonwealth's historic sites and collections in the event of disaster. Quarterly meetings are held at the Massachusetts Archives Facility, and offer a wide range of instructional and support activities from specialists in both the Emergency Management and Cultural communities to COSTEP MA members.

State Historic Records Advisory Board (SHRAB)

Utilizing funding from the National Historical Publications and Records Commission, the Massachusetts State Historic Records Advisory Board (SHRAB) has engaged in a wide variety of activities in support of the records community in the Commonwealth. The SHRAB's Roving Archivist program continues to provide assistance to institutions across the state, helping them arrange, describe, manage, preserve, and make accessible their collections.

Additionally, the SHRAB, under the authority of Secretary of the Commonwealth William Galvin, has implemented a preservation grant program for Veterans collections, monuments, and memorials. This grant program provides matching funds up to 50 percent of a project's total cost to preserve, conserve, and restore existing memorials, monuments, and gravesites; construct new markers and memorials; and conserve and provide access to historically significant documents and archival collections related to the history and experiences of military veterans.

Digital Records Program

Archival Collection Management System (ACMS)

The Archives continues its use of Re:Discovery Proficio for the management of collection data for both physical and digital materials. The Archives has published pdf finding aids on the Archives' website which provide information on all Record Groups and Series. The Archives has also utilized the Commonwealth Historical Collaborative catablog (chc.library.umass.edu/state-archives) as a way to publish more extensive, searchable series descriptions. Work is continuing in customizing this product.

Trusted Digital Repository System (TDR)

The Archives has spent FY17 working with the Secretary's IT Office to upgrade their Preservica repository tool. The software has been upgraded from the Standard version, running in a Linux environment, to the Enterprise edition, running in a Windows environment. This change will allow for greater internal support of the product. The repository currently manages and preserves over 127,000 digital files, including documents, still images, and videos that are designated as permanent records of the Commonwealth. New collections brought in this fiscal year include:

- Index cards documenting Massachusetts casualties from World War II
- Photographs from the Metropolitan District Commission
- Digitized maps from 1794-1795
- Materials from the Massachusetts Cultural Commission

Versatile Records Retention System

The public interface for the online Records Retention Schedule database was launched and has prompted continued work to improve the interface and the underlying schedules.

Versatile Professional

The Archives has supported the State Records Center in the full implementation of the Versatile Professional inventory management system, in support of returning boxes to the creating agencies.

Reference Desk Activities

- 1,900 researchers visited the Archives Reading Room during the past year. The staff retrieved approximately 2,700 records from the vaults for onsite research and filed more than 13,000 reels of microfilm after patron usage.
- The reference staff received more than 4,100 e-mail inquiries over the course of the year. In keeping with trends seen over the past few years, the number of e-mail inquiries received has continued to grow, even as requests in other formats have shrunk. As the number of records made available online continues to grow, researchers have much more flexibility when it comes to accessing records without visiting the facility. On the other hand, the reference staff now spends a considerable amount of time answering questions and guiding researchers through the steps necessary to access materials online.
- The Archives Reference Staff continues to spend considerable time pulling vital records books for the years 1921 through 1925. These records constitute the vast majority of requests for certified copies. Digitization of this collection should begin in 2018, and this will reduce the number of requests the staff receives for these records.
- Approximately 50 researchers arranged to view architectural plans at the Archives, and the staff retrieved more than 100 separate plans for these appointments. This collection continues to receive heavy use, with roughly one to two appointments per week throughout the year.
- The Archives staff scanned and digitally reproduced more than 250 separate items from the collection. Despite the advances in the digitization of microfilm over the past year, this remains a popular option for researchers interested in obtaining high quality images of documents.

Commonwealth Museum

- Nearly 7,000 elementary, middle and high school students participated in regular Commonwealth Museum field trip programs.
- In March the Commonwealth Museum partnered with the John F. Kennedy Presidential Library and Women's Suffrage Celebration Coalition of Massachusetts for a showing of the motion picture *Hidden Figures*. Four hundred high school students viewed this award winning film that combines Black History and Women's History. Eligible students were offered a chance to register for voting.
- In a special event at the "Swan Boat Landing" at the Boston Public Garden, Secretary Galvin announced a partnership with the Women's Suffrage Celebration Coalition of Massachusetts. The museum will present a "Suffragist of the Month" in a lobby display and on the museum website for each of the thirty- six months leading to the one hundredth anniversary of the Nineteenth Amendment that granted women the right to vote.
- Once again the Commonwealth Museum participated in the Free Fun Friday program sponsored by the Highland Street Foundation and welcomed approximately six hundred visitors.

- Opening on the Fourth of July, the Commonwealth Museum hosted nearly 1,600 visitors to see the Massachusetts copy of the Declaration of Independence.
- For Black History Month, the museum mounted a lobby exhibit about “African-Americans and Maritime History,” focusing on the slave trade and the role of Massachusetts ports, like New Bedford, as an escape route for fugitive slaves.
- Former lobby exhibits have been offered as traveling exhibits and have been displayed across the Commonwealth including town halls or libraries in Framingham, Worcester, Plymouth, and Marblehead among other venues. A lecture is offered as part of the program.
- The museum podcast continued with a new segment exploring the case of Sacco and Vanzetti.

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.

Survey, Preservation Planning, and Local Government Assistance

Ongoing enhancements to the MACRIS (Massachusetts Cultural Resources Information System) on-line

database continues to improve the public's ability to search and access MHC's state-wide inventory of historic properties via the internet. In FY16, MHC continued to create and add digital format scanned versions of inventory forms and National Register nominations from its files to the searchable MACRIS on-line database on a town-by-town basis. MHC also continued to develop 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 FY 16, assistance to city and town governments, in particular, the local historical commissions, historic district commissions, and historic district study committees, was provided regularly throughout the year. The local board and commission members are volunteers and most do not have access locally to professional preservation assistance. Through regional workshops, local meetings, phone calls and email communication, MHC staff provided on-going, timely answers to questions, best practices from around the state, recommendations for moving forward and access to resource materials. Additionally, new MHC training modules were presented at workshops for local commissions, in partnership with Historic New England. With nearly 150 municipalities having a demolition delay bylaw or ordinance, MHC developed a much-needed guidebook on demolition delay. A first draft of the guidebook was completed.

Survey and Planning Grants

In FY16, MHC staff successfully managed 18 projects representing a pass-through of \$217,000 in matching federal funds to local communities in the federal FY15 statewide Survey & Planning Grant round, including 13 neighborhood and communitywide historic properties surveys, 3 preservation plan projects, 1 National Register district nomination, and one topographic site survey.. In addition, MHC awarded 19 new projects representing a pass-through of an additional \$279,100 in matching federal funds to local communities in the federal FY16 Survey & Planning Grant round, including 13 neighborhood and communitywide historic properties surveys, 1 communitywide survey plan, 2 archaeological surveys, 2 preservation plan projects, and 1 staff support 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 FY15, 25 new nominations were brought to the State Review Board; including National Register districts in Boston, Brockton, Princeton, and Upton. Also among the nominations were the Myles Standish Burying Ground in Duxbury, established ca. 1632 and one of the oldest maintained burial grounds in the country, the 1885 Old Chapel at UMass/Amherst, the University's iconic building, and the Boston Police Station No. 1. Traffic Tunnel Administration Building and Boston Printing Department Building at the edge of the city's North End, now the home of the North Bennet Street School. MHC directly funded the preparation of six National Register nominations for properties owned by municipalities or private nonprofits during State FY15.

State Historic Rehabilitation Tax Credit

The state tax credit for rehabilitation of historic properties was originally implemented in FY04 and has continued into FY16. The state tax credit program has been extended to expire December 31, 2022 by the Legislature, with an annual cap of \$50 million. This program operates on the calendar year (tax year), during which there are three application cycles (in January, April, and August). The MHC reviewed 444 applications in State FY15 (Rounds 34, 35 and 36).

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 98 new federal tax credit projects during federal fiscal year 2016 (October 1, 2015 – Sept. 30, 2016).

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 3,025 federal projects and 9,527 state projects between October 1, 2015 and September 30, 2016.

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 continues 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 FY15 or MPPF Round 20, the MHC received 34 applications with total requests for funding of \$1.9 million. Actual awards for MPPF Round 20 and FY15 Emergency MPPF combined were 27 projects totaling \$1.1 million. State FY16 or Round 21 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, issued State Archaeologist's permits to qualified professional archaeologists, and managed 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 2015 was designated Archaeology Month with its theme being "Sailing Back in Time" Over 60 events were held 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/

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 upon several hundred 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 on-site 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, 2015-June 30, 2016

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

The Legal Section

- Opened 896 appeals concerning the public status of records;
- Resolved 1066 appeals concerning the public status of records;
- Led seminars concerning the Public Records Law to government offices and associations;
- Issued 2 formal and 22 informal advisories on the proper use of the State Seal, Coat of Arms and Flag of the Commonwealth;
- Received and filed 17 Security Breach notifications from state agencies pursuant to chapter 93H of the General Laws;
- Drafted and filed legislation in support of transparency in government;
- Reviewed and provided comments to the legislature and its committees on draft legislation
- Drafted updated regulations related to the Public Records Law.

The Boards and Commissions Section

- Received over \$919,000 in connection with Notary Public registrations, verifications and name changes;
- Received over \$411,000 in connection with certification of documents;
- Received over \$74,000 in connection with Solemnizations to Perform Marriage;
- Received over \$11,000 in connection with Justice of the Peace registrations; and
- Certified over 6,700 One Day Solemnization applications through the newly implemented online One Day Solemnization application system, receiving over \$69,000.

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) 727-2853
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 remaining 7 Registries of Deeds are run by county government and remain outside of the Secretary's jurisdiction. M.G.L. c.36 governs the Registries of Deeds and its functions. 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.

- FY16 Gross Revenue to the General Fund: \$164,575,102.22
- We continue to expand upon our Electronic Filing capabilities with some registries recording 50% of their documents electronically.
- We have upgraded the hardware at all 13 Registry of Deeds locations.
- Extended network to include the back-up system at Columbia Point.
- Held the Technology Advisory Committee meeting in FY16.
- Filed the Register's Technological fund Spending Plan to the House and Senate Ways and Means Committees and House and Senate Post Audit and Oversight Committees.
- Completed our inventory at all Registry of Deeds locations.
- Continued expanding our online search capabilities, including both scanning and indexing.
- Working with GIS to do a "deeper" dive into online locations and what information can be extracted from an address.
- Working on a Pilot Project with Cities and Towns to use CERS to file electronically directly to the Registries of Deeds.
- Updated the indexing standards that are in operation throughout the Commonwealth.

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

Corporate Finance Staff: 7

Filing Type	Number of Filings	Filing Fee Amount
Exemption		
14.402(B)(13)(i)	170	\$91,150.00
14.402(B)(13)(l)	2,898	\$1,572,000.00
402(b)(11)(B)	4	\$400.00
402(b)(9)(B)	22	\$4,250.00
Sub Total	3,094	\$1,667,800.00
Notice		
Closed End - Electronic	35	\$17,950.00
Closed End - Paper	109	\$33,950.00
Face Amount Certificate Company - Paper	1	\$1,250.00
Open End - Electronic	12,965	\$17,498,750.00
Open End - Paper	10,298	\$14,398,750.00
Unit Investment Trust - Paper	1,589	\$1,191,750.00
Sub Total	24,997	\$33,142,400.00
Registration		
by Coordination	135	\$184,250.00
by Qualification	14	\$9,208.29
Sub Total	149	\$193,458.29
U-2		
None	277	
Sub Total	277	
Total Filings	28,517	\$35,003,658.29

Registration, Inspections, Compliance & Examinations (Rice) Section

Rice Staff: 12

Investment Adviser Examinations TOTAL Exams	104	Average AUM examined
Total Assets Under Management Examined	\$1,598,960,459.00	\$17,010,217.65

Registrations - Broker-Dealers (BD)

Broker-Dealers with an Approved status	2101	
Broker-Dealers with a No Status status	51	
Broker-Dealers with a Conditional Restricted status	0	
Broker-Dealers with a Limited status	0	
Broker-Dealers with a Termination Requested status	59	
Non-FINRA Broker-Dealers	3	
Non-FINRA Broker-Dealer Agents	11	
Terminated Non-FINRA Broker-Dealers	1	
# of Effective Broker-Dealer Organizations	2160	% of BDs Home State MA
# of Effective Broker-Dealer Organizations with home address in Jurisdiction	140	6.48%
# of Effective Broker-Dealer Organizations with home address outside of Jurisdiction	2020	
# of Broker-Dealer branches in Jurisdiction for Effective Broker-Dealer Organizations with home address in Jurisdiction	1427	
# of Broker-Dealer branches in Jurisdiction for Effective Broker-Dealer Organizations with home address outside of Jurisdiction	2236	
Broker-Dealer Withdrawals Upon RICE Request	6	

Registrations - Broker-Dealer Agents (AG)

# of Effective Agents Individuals	179015	% of BD Agents Home State MA
# of Effective Agents Individuals Residing in Jurisdiction	16318	9.12%
# of Effective Dual Agents/Investment Adviser Representatives Individuals	6496	
# of Effective Dual Agents/Investment Adviser Representatives Individuals Residing in Jurisdiction	4263	

Broker-Dealer Agents with an Approved status	179938	
Broker-Dealer Agents with a Restricted Approval status	1	
Broker-Dealer Agents with a Pending status	179	
Broker-Dealer Agents with a Termination Requested status	33	
Broker-Dealer Agents with a Deficient status	662	
Broker-Dealer Agents Terminated without Registration	562	

Registrations - Investment Adviser Firms (IA)

# of Effective Investment Adviser Firms Registered Organizations	926	% of IA Firms Home State MA
# of Effective Investment Adviser Firms with home address in Jurisdiction	694	74.95%
# of Effective Investment Adviser Firms with home address outside of Jurisdiction	232	
Investment Advisers with a Termination/Withdrawn Requested status	1	
# of Effective Investment Adviser Firms Notice Filed Organizations	2451	% of Notice Filed IA Home State MA
# of Effective Investment Adviser Firms Notice Filed with home address in Jurisdiction	540	22.03%
# of Effective Investment Adviser Firms Notice Filed Organizations with home address outside of Jurisdiction	1911	
Investment Advisers with a Notice Filed Received/Reviewed status	272	
Investment Advisers with a Notice Filed Removal Requested at End of Year status	33	
Investment Adviser Brochures New Brochures Submitted	465	
Investment Adviser Brochures amended brochures submitted	2062	

Investment Adviser Brochures retired	756	
# of Investment Adviser Brochures with a Delivered status	1473	
# of Investment Adviser Brochures with a Pending status	15	
# of Investment Adviser Brochures with an Accepted status	248	

Registrations -Exempt Reporting Advisers

# of ERA-Active Organizations	243	
# of ERA-Active Organizations with home address in Jurisdiction	210	
# of ERA-Active Organizations with home address outside of Jurisdiction	33	

Registrations -Investment Adviser Representatives (IAR)

# of Effective Investment Adviser Representatives	9857	% of IA Representatives Home State MA
# of Effective Investment Adviser Representatives Residing in Jurisdiction	6543	66.38%
# of Effective Investment Adviser Representatives Registered with State-Registered IA Organizations	1344	% of IAR with MA State Reg IA
# of Effective Investment Adviser Representatives Registered with Notice Filed IA Organizations	8629	13.63%
# of Investment Adviser Representatives with a Deficient status	156	
# of Investment Adviser Representatives with a Termination Requested status	22	
# of Investment Adviser Representatives with a Pending status	301	
# of Investment Adviser Representatives with a Restricted Approval status	116	

Registrations - Issuer Agents

Issuer (Firms) With Agents	42	
Issuer-Agents	84	
Terminated Issuer (Firms)	0	
Terminated Issuer-Agents	7	

Enforcement Section

Enforcement Staff: 13

Total Complaints	581
Total # of Inquiries & Referrals	468
Total # of Investigations	113
Total # of Inquiries (closed)	210
Total # of Investigations (closed)	104
Total Complaints filed	10
Total Consent Orders Filed	11
Total Fines	\$6,333,668.00
Total Restitution	\$4,552,672.31

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 three distinct tours – the general architectural/historical tour, the legislative process tour and the Civil War tour (related to artifacts and history of MA during the Civil War)

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 agencies.

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. We currently have enrolled 15 adult volunteers who serve September through May and 120 student volunteers who serve mostly during the summer (June – August) which is our busiest season for tourists. We sponsor continuing education tours for our volunteers to the John Adams Courthouse and other related Freedom Trail sites. We provide recommendation/reference letters to all students who successfully complete the summer program.

The Tours Division assists in various special events and exhibits. We participate in Harborfest/ Freedom Trail activities and offer a special Flag Day program to visitors and students. We have increased participation in the annual Holiday Concert Series to many diverse groups. We sponsor two or three groups each day through the month of December. The biggest increase in visitation was for the month of December.

The Tours Division runs a small gift/souvenir area known as the State House Gift Cart. Inventory is maintained to provide books on history, souvenirs and items related to the State House. The newest product is a DVD called Hidden History which is a story of the history of the MA State House time capsule.

The 2016 Visitation for the State House Tours Division was approximately 100,000 people. This includes student field trip groups from MA and surrounding areas, visitors, citizens and special guests.

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 directory of health care facilities. It also sell various Massachusetts themed souvenirs to accommodate the thousands of tourists who visit the state house each year.

Highlights/Accomplishments of FY16:

- Edited and published 278 regulations that were filed by various state agencies.
- Updated *The Regulations Manual* which was published and distributed to the chief legal counsel of every state agency that promulgates regulations.
- Amended our division's own regulations 950 CMR 20, pertaining to the preparing and filing of regulations, and 950 CMR 21, pertaining to preparing and filing notices in the *Central Register*.
- Worked regularly with the Governor's Office in the initial stages of his Regulation Review Project implementing Executive Order 562
- Published the 2013 and 2014 hardbound editions of the *Acts & Resolves*.
- Revenue sales of the *Goods & Services Bulletin* subscriptions and souvenir/gifts increased slightly.

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

Below is the list of services that we provide in the Southeastern District Office.

Elections

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

Corporations Division

- 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 (CMR's & MGL's)
- Maintain state publications current

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
- Portuguese speaking staff available

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

The goal of the Southeastern District Office is to continue to provide the citizens of MA with the most updated information along with excellent and prompt service whether it is through mail, phone, e-mail or walk-in. We will strive to continue to make the office of the Secretary of the Commonwealth extremely user-friendly.

Western 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 administered the oath of office to public officials, notaries public and justices of the peace. This office also certified the signatures of public officials and affixed apostilles to documents going out of the country.

Corporations:

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

Elections:

The Western office provided state election candidate information, nomination papers for those seeking office,

election laws and statistics, and “how to” pamphlets on election procedures. We accepted nomination papers for filing from candidates for many 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.

Outreach:

The Western Office had a booth at the Big E in West Springfield during the last two weeks of September. We conducted a voter registration drive and registered over 200 people. We gave away a number informational pamphlets and maps from our different divisions within the office.