

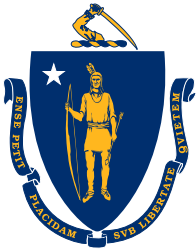


Secretary of the Commonwealth Annual Report

Fiscal Year 2022



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 2022 Annual Report for the Office of the Secretary of the Commonwealth. Although the ongoing state of emergency in response to the COVID-19 pandemic affected this period, my office maintained in-person service at all locations. I hope you take some time to review the accomplishments of this office, with brief highlights provided below.

The Corporations Division saw over 65,000 new entities organized or registered to do business. At my direction, the Division did not initiate a dissolution project, as many entities were attempting to receive emergency loans and grants to weather the pandemic, which required them to obtain Certificates of Legal Existence or Good Standing. I was determined not to hamper them in this effort.

The Elections Division in partnership with the Census staff of my office provided technical assistance to municipalities redrawing their ward and precinct boundaries following the 2020 U.S. Census. This was particularly challenging since the legislature reversed the process and redistricted before municipalities could finalize their precincts. The Division also prepared for the 2022 State Primaries and Election, and in the process counted petitions containing over 400,000 certified voter signatures, to advance them along the process towards appearing on the November 2022 State Election ballot.

The Massachusetts Archives saw an uptick in activity; hosting approximately 600 researchers for in-person visits. The archives continues to offer remote services including workshops and researcher trainings through video-conferences and social media. As a result, the Archives responded to over 13,000 inquiries via email, phone, and mail.

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 approximately 11,500 state and federal projects between October 1, 2021 and September 30, 2022.

The Public Records Division issued over 3,400 determinations relating to records access. The Division opened and resolved 329 petitions from records access officers relating to fees, time extensions, or the relief of obligation to provide records. In addition, the Lobbyist Division collected \$842,200 in registration and late fees.

I continue to be immensely grateful for the staff of this office. Each division continues to provide prompt service to residents of the commonwealth, and I am pleased to report that not a single business day went by without the phones being answered by a knowledgeable staff person. Anyone reaching out with questions or seeking critical services can count on this office for help.

Very truly yours,

A handwritten signature in blue ink, reading "William Francis Galvin", is positioned above the printed name.

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 the secretary shall file biannual reports, the first of which shall be submitted not later than April 1, 2022, 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.....\$1,000,001

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.....\$7,506,362

0521-0001 For the operation of the central voter registration computer system; provided, that not later than February 28, 2022, 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
0524-0000 For providing information to voters	\$389,270
0526-0100 For the operation of the Massachusetts historical commission; provided further, that not less than \$25,000 shall be expended to the Friends of Wendell Meetinghouse for improvements to community gathering space during the COVID-19 pandemic and the recovery period post-pandemic	\$967,051
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.....	\$1,302,447
0540-1000 For the registry of deeds located in the city of Salem	\$2,957,111
0540-1100 For the registry of deeds located in the county of Franklin	\$648,216
0540-1200 For the registry of deeds located in the county of Hampden.....	\$1,946,784
0540-1300 For the registry of deeds located in the county of Hampshire	\$825,265
0540-1400 For the registry of deeds located in the city of Lowell	\$1,230,811
0540-1500 For the registry of deeds located in the city of Cambridge, prior appropriation continued	\$3,737,306
0540-1600 For the registry of deeds located in the town of Adams.....	\$279,488
0540-1700 For the registry of deeds located in the city of Pittsfield.....	\$481,419
0540-1800 For the registry of deeds located in the town of Great Barrington.....	\$237,453
0540-1900 For the registry of deeds located in the county of Suffolk	\$2,223,820
0540-2000 For the registry of deeds located in the city of Fitchburg	\$713,500
0540-2100 For the registry of deeds located in the city of Worcester	\$2,323,536

Year – End Revenue for Fiscal 2022

Revenue was broked down into 4 categories for a total of	\$446,477,700.44
Corporations, Archives, Public Records.....	\$151,594,148.69
Gift Cart, Bookstore	\$302,058.39
Securities.....	\$66,019,250.34
Registry of Deeds	\$228,562,243.02

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 1800 participants have benefited from services provided by the Program.*

Between July 1, 2021 and June 30, 2022, the program certified 94 new participants. During that period, the Program's 438 participants included 223 women, 19 men, and 196 children. The ACP processed an average of 2,245 pieces of mail each month.

Counties Represented

Barnstable	5
Berkshire	3
Bristol	30
Essex	50
Franklin	2
Hampden	33
Hampshire	8
Middlesex	121
Norfolk	52
Plymouth	25
Suffolk	68
Worcester	41
Total Participants.....	438

*As of date of report 7/7/2022

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 Fiscal 2022 include:

- The Division did not initiate a dissolution project during this fiscal year due to the continued COVID-19 pandemic. Many entities were attempting to receive loans and grants, and due to the necessity to obtain a Certificate of Legal Existence or Good Standing from this office, it was determined to be in the best interest of the public and small business to not initiate a dissolution project.
- The Division issued 88,142 certificates of legal existence and good standing; the total revenue generated from these certificates was \$1,674,826.00. 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 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.

Over 65,000 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 September of FY 2022, fifteen (15) initiative petitions were filed. The Elections Division prepared and distributed these petition forms. Of those originally filed, four (4) submitted petitions forms with the Elections Division by the statutory deadline. As such, the Elections Division reviewed, processed, and counted petitions containing over 400,000 certified voter signatures. Those petitions were transmitted to the Legislature in January 2022, with two (2) of those proposed laws ultimately appearing on the November 2022 State Election ballot.

In FY 2022, the Elections Division administered special elections in the Fourth Essex Representative District and the First Suffolk & Middlesex Senate District.

The Elections Division also prepared for the 2022 State Primaries and Election through the processing of candidate nomination papers. Offices appearing on the ballot in 2022 included Governor and Lieutenant Governor, Attorney General, Secretary of State, Treasurer, Auditor, Representative in Congress, Councillor, State Senator, State Representative, and Register of Probate, as well as other district and county offices. During FY 2022, candidates for the above offices submitted the necessary paperwork to the Elections Division, which certified their names for ballot placement.

Late in FY 2022, the VOTES Act was enacted, making significant changes to the state election laws, most of which were required to be implemented for the 2022 State Primaries and Election. The Elections Division worked expeditiously to provide guidance to local election officials on updates to the election laws and any new requirements.

Also late in FY 2022, a referendum petition was filed, which required the Elections Division to prepare blank petitions for the collection of signatures.

Other activities conducted by the Elections Division in FY 2022 included training of local election officials and poll workers, assisting local election officials in adapting to Vote by Mail for their municipal elections, and 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 9,595 transactions relating to lobbyist registration and disclosures totaling over;
- Collected \$842,200.00 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;
- 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 **1,191 cubic feet of records** in FY 2022. Accessioned records at the close of FY 2022 **total 31,117 cubic feet**. Accessions were received from the following agencies:

- Adjutant General's Office
- Department of Conservation and Recreation
- Department of Corrections (Massachusetts State Prison)
- Department of Environmental Management (Bureau of Recreation)
- Department of Labor (Division of Minimum Wage)
- Department of Mental Health (Facilities Management Division)
- Department of Transportation (Executive Office of Transportation and Construction, Massachusetts Highway Division)
- Division of Capital Asset Management and Maintenance
- General Court (Joint Committee on Criminal Justice, Legislative Research Council)
- Governor's Statewide Anti-Crime Council
- Massachusetts Caucus of Women Legislators
- Metropolitan District Commission (Division of Parks Engineering)
- Municipal Police Training Committee

- Office of the Chief Medical Examiner
- Secretary of the Commonwealth (Commissions Section, Massachusetts Historical Records Advisory Board, Lobbyist Section, Public Records Division)
- Town Clerks (Home Rule Charters)

Return of the Hamilton Letter

A letter written by Alexander Hamilton to the Marquis de Lafayette on July 21, 1780 was safely returned to the care and custody of the Massachusetts Archives and was put on display for the general public on July 4, 2022 for the first time since it was stolen from the Archives in the 1940s.

Internal Projects and Agreements

Collections Agreements

Department of Conservation and Recreation (DCR)

The **4,200 boxes** and some portions of the oversize flat and rolled archival records of the Department of Conservation and Recreation (DCR) and its many predecessor agencies were relocated to the Massachusetts Archives in October/November 2021 from DCR's off-site storage lease space in Danvers. A formal Memorandum of Agreement between the Secretary of State, the Executive Director of the Massachusetts Archives and the Acting Commissioner of the Department of Conservation and Recreation was signed in November/December 2021. DCR's Archivist for its general, non-plans, collections began working at the Massachusetts Archives building in November 2021.

51 boxes of permanent archival records spanning 19 file sets identified and transferred to the Massachusetts Archives through the Future of Work File Review Process at the DCR Boston HQ (251 Causeway Street offices), as a result of the Governor's downtown Boston footprint downsizing that required all agencies under EEA to relocate and move to shared workstation-only office spaces, without paper-based files. DCR's relocation is scheduled for spring 2023.

Department of Transportation (DOT)

The Massachusetts Archives accessioned a large collection (**1,070 cubic feet**) of oversized bridge plans from the Massachusetts Highway Division in FY 2022. This necessitated a rearrangement of one of our vaults to make room for 68 map cabinets which was successfully completed.

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 FY 2022, the Archives received the remainder of the deeds from the Berkshire Middle District, a transfer that began in the previous fiscal year.

Collaborative Initiatives

Coordinated Statewide Emergency Preparedness Massachusetts (COSTEP MA)

The Coordinated Statewide Emergency Preparedness in Massachusetts (COSTEP MA) network remained active during this reporting period. COSTEP MA organized a number of successful virtual programs that were offered to its subscribers, including:

- A two-part webinar series in collaboration with the Boston Green Ribbon Commission on climate resiliency
- An ongoing statewide participatory mapping initiative (Cultural Heritage Facilities Survey) in partnership with the Massachusetts Emergency Management Agency (MEMA) and the Boston Office of Emergency Management
- Outreach to affiliate Alliance For Response networks through the Foundation for Advancement In Conservation (FAIC)

Massachusetts Seal, Flag and Motto Advisory Commission

The Executive Director served on the commission, attending regular meetings and offering insight and guidance on the design from a historical perspective.

Northeastern University Co-op program

The Massachusetts Archives continues to participate in the Co-op program at Northeastern University, hosting **8 student workers** in the reporting period. The students gained full-time work experience with the Reference Department, Digital Department, and Processing Department and assisted on numerous projects.

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

The Archives engaged in the fourth year of the partnership with the LABBB Educational Collaborative to provide a transitional work experience for young adults with disabilities. The project employed 11 students, who created metadata for over 20,000 WWI Navy index cards.

Reference Services

Statistics

The Massachusetts Archives continued to experience the effects of the COVID-19 pandemic in FY 2022, but numbers of onsite researchers are up from the previous year hosting **600 researchers** for in-person visits, **240** of those being first-time researchers with the Archives. However, we continue to assist more people than ever remotely.

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 **4,200 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 **2,050 mailed letter requests**, almost **1,500** of these being sent from out of state.

We pulled **1,220 units of archival records** from the vaults in order to research these questions and for on-site researchers, and **1,700 reels of microfilm** were accessed in our Reading Room.

The Reference Staff researched and certified **2,780 birth, marriage, and death records** for patrons replacing lost copies, applying for dual citizenship, or building family trees. Digitization of our vital records for years 1921-1925 was completed through our agreement with the Genealogical Society of Utah, and a new agreement was signed to digitize the newly acquired birth, marriage, and death records for years 1926-1930. Scanning of these records will commence in FY 2023 once the records are transferred from the Registry of Vital Records and Statistics.

68 appointments were made with 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.

Military Archives

This year the **military archivist** has responded to **643 e-mail reference requests, 17 in-person visits, and numerous phone requests**. 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. Research projects included a Lexington Veterans Association Korean War project, and a New England Historic Society project on Black regiments in the Civil War. A significant number of requests involved the use of military records for genealogical projects.

Judicial Archives

The judicial archivists responded to more than **2,300 reference requests** and provided more than **3,250 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.

The judicial archivists continued adding record series and file unit information to the Massachusetts Archives' Re:Discovery Archival Collection Management System to improve accessibility of court records. This year, they created entries for more than **1,200 volumes and boxes** pertaining to the Court of Common Pleas and Probate Court record groups.

The judicial archives continued a partnership with FamilySearch.org to scan Suffolk County probate records. During FY '22, this volunteer-led project relocated to the Massachusetts Archives facility to proceed with scanning the probate files held onsite. Since moving to the archives, the volunteers scanned and flat filed nearly 6,500 cases. The first series of Suffolk County probate files contains more than 97,000 cases housed in more than 1,700 document boxes, so this partnership is expected to continue for many years. The judicial archives also entered an agreement with FamilySearch to scan 20th century Superior Court naturalization records. This project will be completed as volunteer availability allows, and the finished scans will be hosted on their website.

DCR Archives

After finalizing a transfer agreement with the Department of Conservation and Recreation in FY 2021, the Archivist for DCR began working primarily on-site at the Massachusetts Archives facility to process the records and respond to reference requests. He received **51 inquiries, 66% from DCR staff and consultants**. He also provided per our agreement the following professional conservation and digitization services funded by DCR: digitization of a logbook from the Charles River Basin Commission, 1903-1910, conservation of a number of photographs and plans that had suffered damage. Using the Digital Commonwealth/ BPL Digital Services, he arranged for the digitization of a photograph collection (over **2,000 images**) of the Metropolitan District Water Supply Commission (Quabbin), 1926-1947, as part of a joint DCR Archives and MWRA Library Project.

Outreach

Due to the ongoing pandemic we hosted fewer group visits in FY 2022, but we did host the Old State House museum and the staff of the Department of Conservation and Recreation for a tour and discussion of our resources. Reference staff continued to use our public Instagram page to share resources, guides, and new from the Archives and to host discussions about our services and resources over Zoom by request for local historical societies and genealogy clubs.

Digital Records Program

Staffing

The Digital Records Program hired a new staff person during the reporting period to fill the position of Assistant Digital Archivist. Elizabeth O'Connell was hired in October 2021 to take on the responsibilities of assisting in the transfer of born-digital records to the Archives, processing digital records, importing records descriptions into the Archives' collection management system, assisting in the preservation of digital records, supporting the management and maintenance of the Archives' trusted digital repository, assisting in drafting and updating digital policy documents, and assisting with various records management tasks. Ms. O'Connell has become an integral part of the Digital Team.

Alejandra Moutenot, Digital Archivist, continued to facilitate the transfer, processing, preservation, management, and accessibility of permanent digital records to the Archives, including the ingest of content to the Archives' trusted digital repository. Ms. Moutenot 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.

Digital Archives staff supervised two Digital Interns (Northeastern co-op students) during the reporting period, who worked on projects related to the preservation and accessibility of 1918/1919 vital records (births), the Consolidated card index of Civil War soldiers, 1861-1865, and Division of Waterways maps and plans, 1774-1986.

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 Digital Team worked with IT staff to upgrade the system to its current version (8.22) in March 2022, which constituted a major update to the application and its underlying database. The Archives continues to use the system to print shelf and box labels and update finding aids about archival holdings. The Digital Team is planning to explore syncing catalog entries within Re:Discovery Proficio with its trusted digital repository system, Preservica, after learning that this new feature is now available for use.

Trusted Digital Repository System (TDR)

The Digital Team continued to work with IT to make progress on the upgrade of the Preservica digital repository to version 6.5. The repository currently manages and preserves **over 982,393 digital files** (an increase from 675,360 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:

- Index to Building inspection plans, 1889-1987 (Municipalities M-Y)
- 1918 Death Certificates
- Metropolitan District Commission Division of Parks Engineering Maps and plans, 1891-1998 (Walter D. Stone Memorial Zoo and Franklin Park Zoo plans)
- Commonwealth v. Sacco and Vanzetti case files (boxes 1-4)

Digital Archives staff and interns produced complete item-level metadata for the following series, which are in the ingest queue to the digital repository:

- Department of Commerce and Development Division of Planning Land study maps, 1936-1943.
- Consolidated card index of Civil War soldiers, 1861-1865 (microfilm rolls 11-17)

Digital Archives staff also engaged in the reprocessing of materials from the Deval Patrick administration, specifically focusing on increasing accessibility of photographs and videos.

The front-end digital repository (digitalarchives.sec.state.ma.us) received **8,822 unique users** between July 1, 2021 and June 30, 2022, which amounted to **11,246 sessions on the website**.

Versatile Records Retention System

Digital Archives staff provided extensive support for records management at both the state and municipal levels, including facilitating approved updates to the schedule in Versatile Retention and exporting a PDF report of the schedule to be published on the Archives website on a monthly basis. At the end of the reporting period, the Digital Team was in the process of working with IT to upgrade the Versatile Retention system to its current version (12.0), which constituted a major update to the application and its underlying database.

Versatile Professional

Versatile Professional continues to support tracking information for record series held in the Records Center.

Outreach

Digital Archives staff performed digital preservation and records management outreach to local and state audiences, including presenting at the Massachusetts Town Clerks Association Fall 2021 Conference (held on September 24th) with the Public Records Division.

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 FY2022.

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 FY22, 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 FY22, 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 October 2021, and June 2022, 20 workshops were presented. Workshop topics included: Developing a Historic Preservation Plan, Historic Resources Survey and the National Register of Historic Places, Architectural Styles, Forms and Building Technologies of Massachusetts, The Basics of Running a Good Commission, Establishing a Local Historic District, Becoming a Certified Local Government, Adopting a Demolition Delay Bylaw, Introduction to Historic Preservation, Administering Local Historic Districts and Design Review, and State and Federal Historic Resources Project Review and Compliance. 260 individuals attended at least one workshop live over Zoom; 480 individuals registered for at least one workshop, either to attend live or receive the recording. Several of the workshops were held in cooperation with Preservation Massachusetts and/or regional planning commissions. Seven Local Historic Districts in the municipalities of Boston, Lincoln and New Bedford were reviewed for consistency with state law and office guidelines. Office project involvement included communitywide historic preservation plans for Sturbridge and Sudbury, and work on a guidebook on the building code.

Survey and Planning Grants

In FY22, MHC staff successfully managed 12 projects representing a pass-through of \$194,750 in matching federal funds to local communities in the federal FY21 statewide Survey & Planning Grant round, representing 10 neighborhood and communitywide historic properties surveys, and 2 communitywide historic preservation plans. In addition, MHC awarded 15 new projects representing a pass-through of an additional \$226,000 in matching federal funds to local communities in the federal FY22 Survey & Planning Grant round, including 12 neighborhood and communitywide historic properties surveys, 2 National Register of Historic Places nomination projects, and one design guidelines 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 FY22, 18 new nominations were brought to the State Review Board, including National Register districts

in Boston, Chatham, Holyoke, Northampton, Otis, Sandisfield, Southborough, and Worcester. For Otis, Sandisfield, and Southborough, the nominations were the first for villages in those respective towns. The Clarke School for the Deaf in Northampton was the state's first chartered school for the deaf and was unusual for focusing on the acquisition of oral skills including speech-reading and speech for communication, as opposed to utilizing sign language. Also among the nominations were Camden Street Development in Boston, first and the only public housing complex in Boston intended exclusively for Black veterans and their families; the Old Burying Ground in Watertown, the oldest burial place in the city, and the War Memorial Building in Holyoke, a nomination funded by the MHC.

State Historic Rehabilitation Tax Credit

The state tax credit for rehabilitation of historic properties was originally implemented in FY04 and has continued into FY22. 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 643 applications in State FY22 (Rounds 52, 53 and 54). In Round 52, the total requests amounted to over \$330 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 34 new federal tax credit projects during federal fiscal year 2022 (October 1, 2021 – Sept. 30, 2022).

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 3,514 federal projects and 7,110 state projects between October 1, 2021 and September 30, 2022.

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 FY22 (MPPF Round 27), the MHC received 36 applications with total requests for funding of \$2.3 million. Actual awards for MPPF Round 27 and FY22 Emergency MPPF combined were 23 projects totaling \$1.1 million. State FY23 (Round 28) 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 2021 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 several 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, 2021-June 30, 2022

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

The Legal Section

o Issued over 3,400 determinations concerning access to public records;

- Opened and resolved 329 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 2 advisories on the proper use of the State Seal, Coat of Arms and Flag of the Commonwealth;
- Received and filed 20 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 state agencies containing information about 32,165 public records requests received by these state agencies.

The Boards and Commissions Section

- Received:
 - \$854,674 in connection with Notary Public registrations, verifications and name changes;
 - \$553,182 in connection with certification of documents;
 - \$13,275 in connection with Justice of the Peace registrations; and
 - \$208,674 in connection with Solemnizations to Perform Marriage
- Certified over 10,300 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 22 Gross Revenue to General Fund: \$228,562,243.02
- Registries continue to remain open for public business; online, in person, and by mail.
- Electronic recordings continue to come in the 65% to 90%.
- We are aligning policies across the state to stream line practices.
- Continue to address network redundancy.
- Upgrading software across the 3 levels of Deeds recordings.
- Upgrading all 3 state software platforms.
- Disaster Recovery plans are broadening to cover multiple issues.
- Focus has been on keeping and maintaining the network security.

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

Exemptions

Filings: 7,745

Fees: \$4,799,600

Notices

Filings: 24,546

Fees: \$30,827,419.70

Registrations

Filings: 373

Fees: \$309,168.26

Filing Fee Total for FY 2022: **\$35,936,187.96**

Registration, Inspections, Compliance & Examinations (RICE) Section

RICE Staff: 8 (*two attorney positions have not been filled as of 7/1/22)

Examinations

Investment Adviser Examinations	Number
Total State-Registered Investment Advisers Examinations Conducted	47
Total Assets Under Management Examined	\$1,283,323,159

Registrations

Broker-Dealer Firms	Number
Broker-Dealer Firms	1,926
Broker-Dealer Firms with home address in Massachusetts	123

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	210,791
Broker-Dealer Agents Residing in Massachusetts	15,825
Dually Registered Broker-Dealer Agents & Investment Adviser Representatives Residing in Massachusetts	4,752

State-Registered Investment Adviser Firms	Number
Total State-Registered Investment Adviser Firms	864
State-Registered Investment Adviser Firms with home address in Massachusetts	648

Notice Filed Investment Adviser Firms	Number
Notice Filed Investment Adviser Firms	2,982
Notice Filed Investment Adviser Firms with home address in Massachusetts	636

Exempt Reporting Advisers (ERA)	Number
Total ERAs	313
ERAs with home address in Massachusetts	263

Investment Adviser Representatives (IAR)	Number
Total Investment Adviser Representatives	11,644
Investment Adviser Representatives Residing in Massachusetts	7,654
Investment Adviser Representatives Registered with State-Registered IA Firm	1,197
Investment Adviser Representatives Registered with Notice Filed IA Firm	10,541

Issuer Agents	Number
Issuer (Firms) With Agents	29
Terminated Issuer (Firms)	-
Issuer-Agents	75
Terminated Issuer-Agents	7

Registration Revenue

Financial Entity	Dollar Amount
Broker-Dealer Firms	\$901,350
Broker-Dealer Agents	\$18,938,550
Total Broker-Dealer Revenue	\$19,839,900
Investment Adviser Firms	\$1,313,550

Financial Entity	Dollar Amount
Investment Adviser Representatives	\$697,900
Total Investment Adviser Revenue	\$2,011,450
Total Registration Revenue	\$21,851,350

Enforcement Section

Enforcement Staff: 10

Issue	Total Number
Complaints	375
Inquiries & Referrals	250
Investigations	113
Complaints filed	7
Consent Orders filed	10
Fines	\$4,545,578.67
Total Restitution	\$3,549,785.80

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 Arabic. We also recently added a new updated translation in Greek.

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 still partially closed to the public due to the Covid-19 pandemic. The State House officially opened to the public on Feb 22, 2022. We were the last of all the state capitols to re-open to visitors. Our volunteer program was re-instated and we had a small group of about 20 high school volunteers. Our staff and volunteers were able to continue to offer “exterior tours” conducting tours from the outside looking in. We re-worked our training materials and tour scripts to reflect this change. We were able to continue to do research and produce content to be included on our website for visitor outreach such as historic articles for the Guides Gazette and other articles. We created a brochure on civics related to the State House to send to teachers before their visit. We also started offering inside tours starting in March however there were no public gatherings allowed until Aug. 2022. There were no big school groups in the spring either.

The 2022 Visitation for the State House Tours Division was approximately 32,000 people. This represents a huge decrease from the time period before the shut down but obviously a huge increase from the year when we were completely closed. This year continues to be a “re-set” year and in addition the front entrance (General Hooker entrance) and the front steps were under construction.

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 FY22

- Edited and published 214 regulations filed by various state agencies.
- Published the 2020 Acts & Resolves hardbound edition.
- FY22 revenue for the Bookstore's online transactions increased 8.0% from the previous FY.
- FY22 revenue sales for the state building code decreased 29.4% from the previous FY.
- Significantly upgraded equipment in Central Services with new Ricoh C5310S color copier & B & W copier printing machine.

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.

