QUICK REFERENCE GUIDE
to Electronic Filing System (EFS) Software

This *Quick Reference Guide* is a condensed version of the *Electronic Filing System (EFS) User Guide (v4.0),* providing step-by-step instructions for:

- Downloading and installing the necessary NYSBOE software to access the Electronic Filing Program;
- Creating a Master Record;
- Creating a Financial Disclosure Statement (Report);
- Printing and saving such reports;
- Submitting reports to NYSBOE (via email or mailing a diskette/CD/DVD); and
- Verifying reports for receipt and accuracy via the web (www.elections.state.ny.us).

1. Downloading & Installing Electronic Filing System (EFS) Software

To download the most recent version of the EFS:

1. Go to the NYSBOE website at: www.elections.state.ny.us
2. CLICK [Campaign Finance]
3. CLICK [Downloads] Under [Electronic Filing Software] and [User Guide]
4. CLICK [Download latest Version 4.0 of NYSBOE Electronic Filing System Software]
   (for Microsoft Vista Users: CLICK [VISTA] link and follow instructions)

Depending on your computer settings, a box will then offer the options to [SAVE or RUN] or [RUN] or [SAVE]:

- If using a **high-speed Internet** connection, choose [RUN] to install the EFS program on the C: drive. At the same time a shortcut icon (torch on top of a building) called "Electronic Filing Program" will also appear on your Desktop. Use this Desktop icon to access and open your EFS program.

- If using a **dial-up Internet** connection, choose [SAVE] and save the EFS Program to your Desktop. After saving (which can take up to 1 hour), a [setup.exe] icon will appear on your Desktop. DOUBLE CLICK [setup.exe] file to launch installation. If saving the [setup.exe] file fails, contact the Help Desk to request installation assistance or to request an installation disk to be mailed to you. If the EFS program on the **mailed CD** does not automatically start when inserted, use Windows Explorer to locate and launch the **setup.exe** file from the CD.

During any installation, accept all Default settings (CLICK [Next]) whenever prompted. Upon successful installation, the EFS User Guide (the source document of this Quick Reference Guide) will open as a PDF document and be available for printing. Please refer to the *EFS User Guide* for screen shots and troubleshooting hints.

2. Begin Using the EFS Program

1. DOUBLE CLICK the [Electronic Filing Program icon] on your Desktop (it looks like a torch on top of a building)
2. CLICK [BEGIN SESSION]
3. ENTER [your initials]
4. CLICK [OK] or [ENTER]

The NYSBOE Disclosure Filing Software Version 4.0 screen will now appear.

3. Create a Master Record (completing the gray "Filer Information" section)

1. CLICK in the [ID Number] field
2. ENTER the [6-character Filer ID Number] that was assigned to you by NYSBOE (e.g. A12345 or C12345). If you do not have a Filer ID #, **STOP!** and refer to the "Who Must File & How to File" section of the *Handbook*
3. TAB to [Committee or Candidate Name] field (type in whichever is applicable)
    a. For State office, fill in [Office, District and Type] fields;
    OR
    b. For County office, leave [Office, District and Type] fields BLANK
4. TAB through to [Treasurer Information]
5. ENTER the Treasurer and Depository (bank) information
6. CLICK [✔] (Post-Edit Button) on the Navigation Bar—this will save your Master Record

The Master Record has been saved as a permanent record on your computer and a pop-up box will appear:

7. ENTER the [8-digit PIN] that was assigned with your Filer ID Number
8. CLICK [OK].

Now you are ready to create your Report.

For Treasurers/Preparers Serving Multiple Committees

To create additional Master Records for preparing reports for more that one (1) Committee:

1. CLICK [+] button, to add a "New Record" (the Filer section will now go blank)
2. To add an additional Committee Record, follow steps in #3 for "Creating Your Master Record"

NOTE: Multiple Filer ID #s are stored alpha-numerically

If after logging out you need to search for a previously created Master Record:

1. Log in again (EFS defaults to the lowest alpha-numeric figure)
2. DOUBLE CLICK in the [Filer ID] field (a drop down list will appear)
3. Choose the appropriate [Filer ID #]
4. Enter the [PIN] for that Filer ID

4. Creating a Report

On the menu bar located at the very top of the screen:

1. CLICK [Inventory Maintenance]
2. CLICK [Add Periods/Schedules]

An [Inventory Maintenance] box will appear on mid-left part of screen:

3. CLICK on the [downward arrow] to select Year Filing Due
4. CLICK [appropriate year] on the drop down box. A note will appear explaining how to properly choose the Filing Year—read to verify the correct year has been selected.
5. CLICK [OK]
6. Tab to the [Filing Period] field
7. CLICK [downward arrow]
8. CLICK [appropriate Filing Period]
   (please make sure to select the correct Filing Period)
9. TAB to the [Schedule] field
10. CLICK [downward arrow]

Select appropriate Schedule (for a list of Schedules and their use titles, see next page):

11. CLICK the [Letter] of the Schedule needed
12. CLICK [✔] (Post-Edit Button) in the Filing Inventory box to Save
    the Schedule should appear in the Filing Inventory box on the Right

For each Schedule needed, repeat steps 1 & 2

Once you have created all the Schedules needed for your Report Period:

- CLICK [Exit] (<u>inside</u> the Inventory Maintenance box)

Now you can start entering data into your Schedule(s).

List of Schedules

Submitted with Disclosure Statement (CF-01)

Schedule A - Monetary Contributions/Individual & Partnerships

Schedule B - Monetary Contributions/Corporate

Schedule C - Monetary Contributions/All Other

Schedule D - In-Kind Contributions

Schedule E - Other Receipts

Schedule F - Expenditures/Payments

Schedule G - Transfers In

Schedule H - Transfers Out

Schedule I - Loans Received

Schedule J - Loan Repayments

Schedule K - Liabilities/Loans Forgiven

Schedule L - Expenditure Refunds

Schedule M - Contributions Refunded

Schedule N - Outstanding Liabilities/Loans

Schedule O - Partners/Subcontracts

Schedule P - Non-Campaign Housekeeping Receipts

Schedule Q - Non-Campaign Housekeeping Expenses

Summary of Receipts/Expenditures

Status Report

5. Entering Transations onto Schedule(s)

In the Filing Inventory box:

1. CLICK once on [Year/Filing Period/Schedule] where transactions needed to entered
2. DOUBLE CLICK on same to convert to entry mode
3. You should now see an asterisk [*] next to the [Date] field in the transaction section. This indicates that you can now start entering transactions (if no asterisk appears , then repeat step #1)
4. Enter the date (MM/DD/YYYY)—typing in date is easier than using automatic calendar
5. TAB forward to each [Field] and fill in the required information. Please complete **ALL** fields
6. After entering ALL transactions, CLICK [✔](Post-Edit Button) to save all transactions

6. Printing Reports (for your records only)

1. In the Filing Inventory box, CLICK on **ANY** Schedule of the Filing Period desired to be printed
2. On the menu bar located at the very top of the screen, CLICK [Reports]
3. CLICK on [Full Period] Report
4. Read the NOTE, then CLICK [OK]
5. Enter **[Opening Balance]** (same as **Ending Balance** from last report filed)
6. On the menu bar located at the very top of the screen, CLICK [Printer]
7. CLICK [Close] to get back to EFS screen
8. Before saving and submitting your Disclosure Statement, review printed report for accuracy

7. Saving Financial Disclosure Statement(s)/Report(s)

On the menu bar located at the top of the screen:

1. CLICK [File].
2. CLICK [File Disclosure Statement]
3. Read the Legal Notice
4. CLICK [OK]

Select Filing Type:

1. Select [STANDARD] for **Original** filing OR [AMENDMENT] for **Amended** filing
2. CLICK [OK]
3. Select the [Filing Period] you wish to save
4. CLICK [OK]
5. Verify that the Default Filing Year is correct
6. CLICK [OK]
7. Verify that the Filer ID is correct
8. CLICK [OK]
9. Prompt will appear to [Insert a Formatted Diskette in Drive A:]:

   * If you are NOT sending a report by disk, CLICK [OK] . The prompt to “Insert a Disk into Drive A:” will appear again—ignore it and CLICK [Cancel].

   * If you ARE copying and sending a report by diskette/CD/DVD, insert and follow instructions.

The [Save Disclosure Filing] box will now appear.

1. At “SAVE IN:” choose [Desktop]
2. CLICK [Save]—your report is now saved and copied onto your Desktop.

An [Export is Complete] note will appear on the bottom portion of your Software. It will contain the number of transactions exported (This number should always be greater than zero). This note will also contain the internally coded name of the associated report (e.g., **A12345.08J**: 08=year; J=Reporting Period). In this case, the letters DO NOT refer to the Schedules; they represent the Reporting Period Codes:

Report Period Codes

A = 32-Day Pre-Primary
B = 11-Day Pre-Primary
C = 10-Day Post-Primary
D = 32-Day Pre-General
E = 11-Day Pre-General
F = 27-Day Post-General
G = 32-Day Pre-Special
H = 11-Day Pre-Special
I = 27-Day Post-Special
J = January Periodic
K = July Periodic
L = Off Cycle
XA = Amended Report (where X = any letter above)

NEVER alter the file name assigned to your report!

(Re-naming the file will make it unidentifiable to NYSBOE's EFS and the loader.)

8. Submitting Financial Disclosure Statements to NYSBOE

There are two (2) methods for submitting Financial Disclosure Statements: a) create an email, attach your Statement and send; **OR** b) save your Statement to a diskette, CD or DVD, and mail.

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a) Create Email, Attach Statement, and Send

The EFS file that was created and saved on your Desktop now needs to be attached to an email and sent to NYSBOE.

When "Disclosure Filing Software" screen is open, and your default email program is set (e.g., Outlook or Outlook Express):

1. CLICK [File] from the menu bar
2. Select [Send Statement by Email]
(this will launch your default email programs, opening a blank message addressed to the NYSBOE email address)

An "email box" will appear with the NYSBOE address (efsfiling@elections.state.ny.us) located in the "To:" field.

NOTE 1: If your email program is not set up as the default, then create an email addressed to efsfiling@elections.state.ny.us and enter "EFS Filing" in the "Subject:" field. Attach and send the email following the instructions below.

NOTE 2: Please note that Hotmail and MSN cannot be used for emailing Disclosure Statements. In this case, set up an alternate email account, create an email and follow the instructions in NOTE 1.

<u>Attach Statement to Email</u>

(Be sure to do this—failure to do so transmits an email with NO report):

1. CLICK on [Paper Clip] symbol; or the words [Attach File] or [Insert File Attachment]
2. In “Look In” box, CLICK on [drop down arrow]
3. Select same location where you previously chose to save your EFS file (e.g., Desktop)
4. Select the report just saved (e.g., A12345.08J)
    a. filer ID# = XXXXXX
    b. Year = XX
    c. Report Code = X (refer to the Reporting Period Code list above)
    d. XA = Amended Report
5. Verification that an attachment was made to the email is specific to each email program
6. CLICK [Send]

Unless prevented by certain firewalls (to which adjustments can be made), you should next receive an Automated Email Response from NYSBOE confirming receipt of your email.

However, receipt of this email DOES NOT confirm proper uploading of your Financial Disclosure Statement. Twenty-four (24) hours after submitting your report, go to the NYSBOE website to verify receipt and accuracy (see #9 below for instructions).

OR

b) Save Financial Disclosure Statement to a Diskette, CD or DVD and Mail

1. Save your EFS File onto a Diskette, CD or DVD
2. Label your diskette with your:
    a. Filer ID Number
    b. Committee Name
    c. Year of Report
    d. Name of Report (ex. 32-day Pre-General; January Periodic, etc.)
3. Place diskette in a secure mailer and mail to:

NYS Board of Elections
Attn: Campaign Finance Unit
40 Steuben Street
Albany, NY 12207

In ALL cases, the receipt and content of Disclosure Statements sent to NYSBOE need to verified. To do so, please continue with Step #9.

9. Verifying Receipt and Content of Reports Submitted

After sending your EFS file to NYSBOE (either by email or by mail), it is necessary for you to access the NYSBOE website to: a) verify its receipt, and b) verify its content.

It typically takes up to **24 business hours after NYSBOE has received and successfully uploaded your filing** to access your Reports online. To do so, follow these steps:

Verify Receipt

1. Access your Internet browser
2. Enter www.elections.state.ny.us in the "Address" line
   (Suggestion: add this Link to your "Favorites" for easy future access)
3. CLICK [Campaign Finance]
4. CLICK [Disclosure Reports]

Under "Query the Database":

5. CLICK [View Committee by Name]

To search for your Committee, input one (1) word unique to the name of your Committee:

6. CLICK [Submit Query]
7. CLICK [Your Filer ID Number]

All the Disclosure Reports that NYSBOE has received from you since July 1999 will now be visible.

Verify Content

1. CLICK on report you would like to view
2. CLICK on a submitted Schedule or Summary
3. Confirm that all data is entered and totals are correct
4. To view additional Schedules, CLICK [BACK] and repeat

If incorrect information is detected, return to the EFS software, make necessary corrections to EXISTING report, re-save software report as an Amendment, and re-submit.

10. Technical Assistance

For more details, refer to the NYSBOE Electronic Filing System (EFS) User Guide available at www.elections.state.ny.us

For assistance with technical questions related to the Electronic Filing System software, refer to its Help menu or contact the Help Desk of the NYSBOE Information Technology Unit by calling (518) 474-8200 OR 1-800-458-3453; or send an email to: efshelp@elections.state.ny.us.