

# ELECTRONIC FILING SOFTWARE REFERENCE GUIDE

This Electronic Filing Software Reference Guide is a condensed version of the Electronic Filing Software (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 Campaign Financial Disclosure Report;
- Deleting or correcting Transactions Prior to Sending the Report;
- Printing and saving such reports;
- Submitting reports to NYSBOE (via email attachment or mailing a diskette, CD or DVD) and
- Verifying reports for receipt and accuracy via the website [www.elections.state.ny.us](http://www.elections.state.ny.us);
- Amending a Report.

## 1. Downloading and Installing Electronic Filing Software (EFS)

To download the most recent version of the EFS:

1. Go to the NYSBOE website at [www.elections.state.ny.us](http://www.elections.state.ny.us)
2. CLICK [Campaign Finance]
3. CLICK [File Disclosure Reports]
3. CLICK [Download latest Version 4.0 of NYSBOE Electronic Filing System Software (EFS)]  
(for Windows 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. When the installation is finished, a shortcut icon (torch on top of a building) called "Electronic Filing Program" will 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 one 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 CD 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 Electronic Filing Software 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 PRESS [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 see "Who Must File & What Must Be Filed?" section of the *Handbook* for more details
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 (**see screen shot below**). 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:

1. ENTER the [8-digit PIN] that was assigned with your Filer ID#
2. 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 than 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 1 – 6 under "Create a 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 Filer ID#)
2. Enter PIN for default Filer ID#
3. DOUBLE CLICK in the [Filer ID#] field (a drop-down list will appear)
4. Choose the appropriate [Filer ID#]
5. Enter the [PIN] for that Filer ID#

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NYS BOARD OF ELECTIONS DISCLOSURE FILING SOFTWARE

File Print Reports Inventory Maintenance Query Help Exit

Navigation Bar: [Back] [Forward] [Home] [Post edit] [Cancel] [Refresh]

**FILER** COMMITTEE CANDIDATE NAME

ID NUMBER  Friends of Jane Doe

Office  District  Type

**TREASURER**

Last Name  First Name

Address

City  State  Zip

**DEPOSITORY**

Address

City  State  Zip

## 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] (*see screen shot below*)

The screenshot shows the 'NYS BOARD OF ELECTIONS DISCLOSURE FILING SOFTWARE Version 4.0' interface. The menu bar includes 'File', 'Print', 'Reports', 'Inventory Maintenance', 'Query', 'Help', and 'Exit'. The 'Inventory Maintenance' menu is open, and the 'Add Periods/Schedules' option is circled. The main window displays the following information:

- FILER**: ID NUMBER: A00123, COMMITTEE OR CANDIDATE NAME: Friends of Jane Doe
- OFFICE**: State Senator, **DISTRICT**: [blank], **TYPE**: Authorized
- TREASURER**: Last Name: SMITH, First Name: JOHN, Address: 10 STATE STREET, City: ALBANY, State: NY, Zip: 12207
- DEPOSITORY**: KEY BANK, Address: 12 PEARL STREET, City: ALBANY, State: NY, Zip: 12207

At the bottom, it says 'Disabled TRANSACTIONS for Schedule (C) OTHER MONETARY'.

An [Inventory Maintenance] box will appear on the mid-left part of the 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 choose the correct Filing Period)
9. TAB to the [Schedule] field  
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 11 and 12

## Schedules for Campaign Financial Disclosure Reports

### CONTRIBUTIONS

#### Schedule A

Monetary contributions received from:

Individuals  
Candidate/candidate's spouse  
Family members of candidate  
Partnerships

#### Schedule B

Monetary contributions received from corporations.

These are subject to:

Corporate aggregate calendar year giving limit  
Candidate/committee receipt limit

#### Schedule C

Monetary contributions received from all other contributors:

Political committees  
PACs  
LLCs

Unions, foundations, etc.

#### Schedule D

In-kind contributions (non-monetary contributions):

Services/facilities provided  
Property given  
Expenses paid by someone else

#### Schedule E

Other receipts:

Interest/dividends  
Proceeds of a sale/lease  
Other

### EXPENDITURES

#### Schedule F

Expenditure/payments:

For candidate/committee expenses  
Reimbursements to individuals  
Reimbursements for credit card expenses

### TRANSFERS

#### Schedule G

Transfers in

#### Schedule H

Transfers out

There are only two types of transfers:

Type 1 - Transfer of money between a party or constituted committee and a candidate or candidate's authorized committee.

Type 2 - Transfer of money between two authorized committees solely supporting the same candidate.

### LOANS, LIABILITIES, REFUNDS

#### Schedule I

Loans received:

Evidence of indebtedness required to be filed

#### Schedule J

Loan repayments:

Keep track of outstanding loan balances on Schedule N

#### Schedule K

Liabilities/loans forgiven:

Evidence of forgiveness required to be filed  
Adjust Schedule N to reflect forgiveness

#### Schedule L

Expenditure refunds (increases cash balance):

Overpayments  
Return of deposits

#### Schedule M

Contributions refunded (decreases cash balance)

### RECORD-KEEPING

#### Schedule N

Outstanding liabilities/loans:

**Liabilities** **Loans**

Schedule K - forgiven  
Schedule I - report  
Schedule F - payment  
Schedule J - repayment  
Schedule K - forgiven

#### Schedule O

Partners/ subcontracts

**Partners:** from Schedule A, over \$2500

**Subcontracts:** from Schedule F, \$10,000 state-wide \$5,000 all other

### HOUSEKEEPING

Schedules P and Q can only be used by party and constituted committees

#### Schedule P

Non-specific candidate campaign receipts

#### Schedule Q

Non-specific candidate campaign expenses

### ALLOCATIONS

#### Schedule R

Expense allocation among candidates (for party, constituted, and authorized multi-candidate committees only)

Once you have created all the Schedules needed for your report period:

CLICK [Exit] (inside the Inventory Maintenance box) (**see screen shot below**)  
Now you can start entering data into your Schedule(s).

## 5. Entering Transactions onto Schedule(s)

In the Filing Inventory box:

1. CLICK once on [Year/Filing Period/Schedule] where transactions need to be entered
2. DOUBLE CLICK on the 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)
5. TAB forward to each [Field] and fill in the required information. Please complete ALL required fields.
6. After entering ALL transactions, CLICK √ (Post-Edit Button) to save all transactions

**NOTE:** You cannot file a No-Activity Report using the Electronic Filing Software. In order to qualify to file a No-Activity Report, there cannot have been any activity (e.g., receipts and/or expenditures, including interest, dividends and bank charges) during the reporting period and, therefore, there are no transactions to report.

- For filers with NYSBOE, a CF-18 form can be submitted in hard copy with an original signature, or online using a Filer ID# and PIN at [www.elections.state.ny.us](http://www.elections.state.ny.us).
- For filers with county or city board(s) filing on paper who do not have activity: to report no activity for a particular reporting period, filers should submit fully completed cover, summary and status pages of the campaign financial disclosure report (CF-01)

## 6. Deleting or Correcting Transactions Prior to Sending the Report

1. To delete a transaction line in a schedule, CLICK on the icon ► to the left of "Date Received" for that line and then CLICK on the Delete Record button (-) on your navigation bar. You will get a pop up confirm box asking if you want to delete the record and choose OK.

**NOTE:** Before you can delete a specific filing year, period and schedule from your Filing Inventory Section you must first delete all the transaction lines in the schedule under that filing year, period and schedule. Each transaction line will need to be deleted individually.

2. To delete a filing year, period and schedule from your Filing Inventory Section (all transactions must be deleted first), CLICK on the year, period and schedule (e.g., 2007 January Periodic A) and then CLICK on the Delete Record button (-) on your navigation bar. You will get a pop up confirmation box asking if you want to delete the record and choose OK.
3. To Edit or correct an entry in a transaction line CLICK on the entry you need to change and the CLICK on the Edit Record button ▲ on your navigation bar. CLICK on the entry again and use Backspace on your keyboard to clear. Make your change and CLICK √ (Post-Edit Button) to save all changes.

## 7. 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 the 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

## 8. Saving Campaign Financial Disclosure Report(s)

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

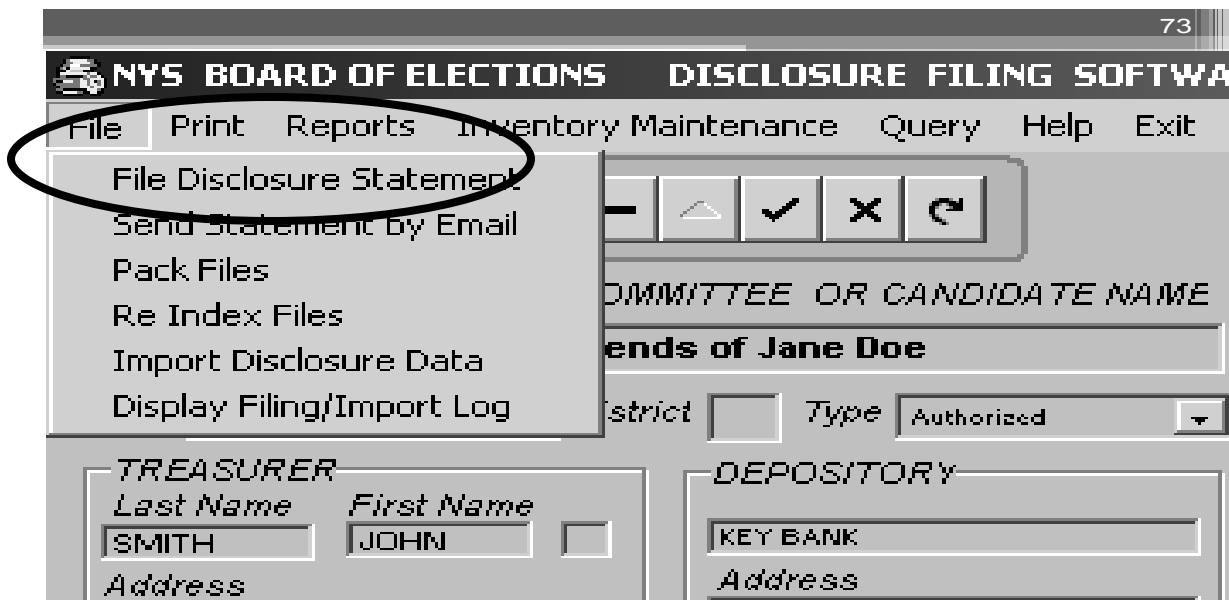
1. CLICK [File]
2. CLICK [File Disclosure Statement] (*see screen shot below*)
3. Read the Legal Notice
4. CLICK [OK]

Select Filing Type:

5. Select [STANDARD] for Original filing **OR** [AMENDMENT] for Amended filing
6. CLICK [OK]
7. Select the [Filing Period] you wish to save
8. CLICK [OK]
9. Verify that the Default Filing Year is correct
10. CLICK [OK]
11. Verify that the Filer ID # is correct
12. CLICK [OK]
13. Prompt will appear to [Insert a Formatted Diskette in Drive A.:]
  - 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].
  - b) If you ARE copying and sending a report by diskette, CD or DVD, insert and follow instructions.

The [Save Disclosure Filing] box will now appear. **NEVER alter the file name assigned to your report!** (Re-naming the file will make it unidentifiable to NYSBOE's EFS and the loader)

14. At "SAVE IN:" choose [Desktop]
15. CLICK [Save] – your report is now saved 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
- X.A = Amended Report (where X = any letter above)

**9. Submitting Campaign Financial Disclosure Report(s) to NYSBOE**

There are two methods for submitting Campaign Financial Disclosure Report(s): a) create an email, attach your report and send; OR b) save your report to a diskette, CD or DVD and mail.

**a) Create Email, Attach Report 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 program, opening a blank message addressed to the NYSBOE email address: **efsfiling@elections.state.ny.us**)
3. An "email box" will appear with the NYSBOE email address (**efsfiling@elections.state.ny.us**) 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](mailto:efsfiling@elections.state.ny.us) and enter "EFS Filing" in the "Subject:" field. Attach and send the email following the instructions.

NOTE 2: Please note that **Hotmail and MSN cannot be used for emailing** campaign financial disclosure reports. In this case, set up an alternate email account, create an email and follow the instructions in Note 1.

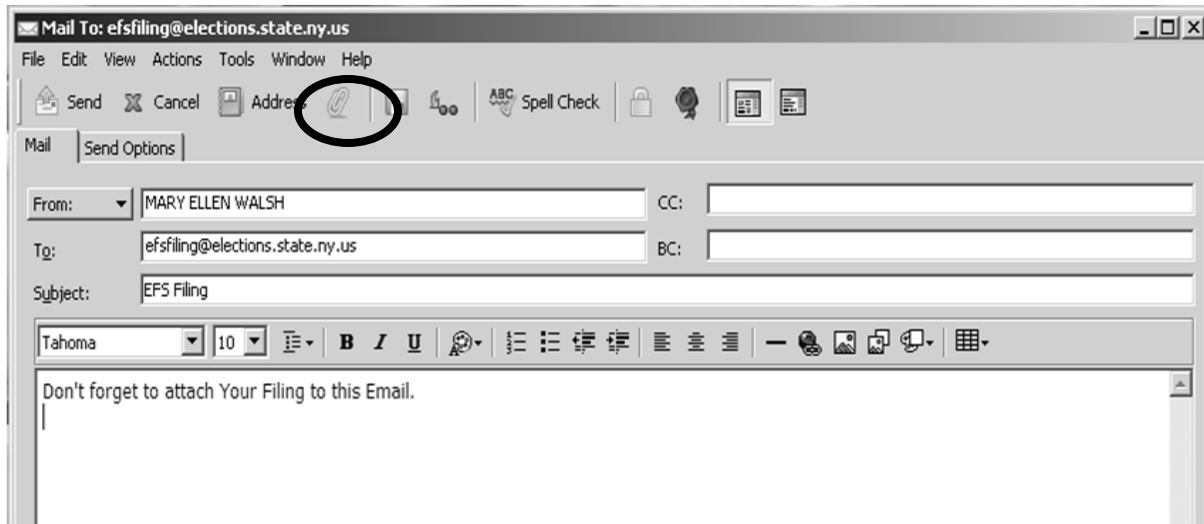
## Attach Report to Email

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

1. CLICK on [Paper Clip] symbol (**see screen shot below**); 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 in Step #8)
  - d) X.A = 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 campaign financial disclosure report. Twenty-four hours after submitting your report, go to the NYSBOE website [www.elections.state.ny.us](http://www.elections.state.ny.us) to verify receipt and accuracy (see Step #10 for instructions).



OR-

### b) Save Financial Campaign Financial Disclosure Report to a Diskette, CD or DVD and Mail

1. Save your EFS File onto a diskette, CD or DVD
2. Label your diskette, CD or DVD with your:
  - a) Filer ID#
  - b) Committee Name
  - c) Year of Report
  - d) Name of Report (e.g., 32-day pre-general; January periodic, etc.)
3. Place diskette, CD or DVD 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 campaign financial disclosure reports sent to NYSBOE need to be verified. To do so, please continue with Step #10.



## 10. Verifying Receipt and Content of Reports Submitted

After sending your EFS file to NYSBOE (either by email attachment 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 twenty-four business hours after NYSBOE has received and successfully uploaded your filing to access your Reports online. To do so, follow these steps:

### a) 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 [View Disclosure Reports] (*see screen shot below*)

Under "Query the Database":

5. CLICK [View Committee by Name]

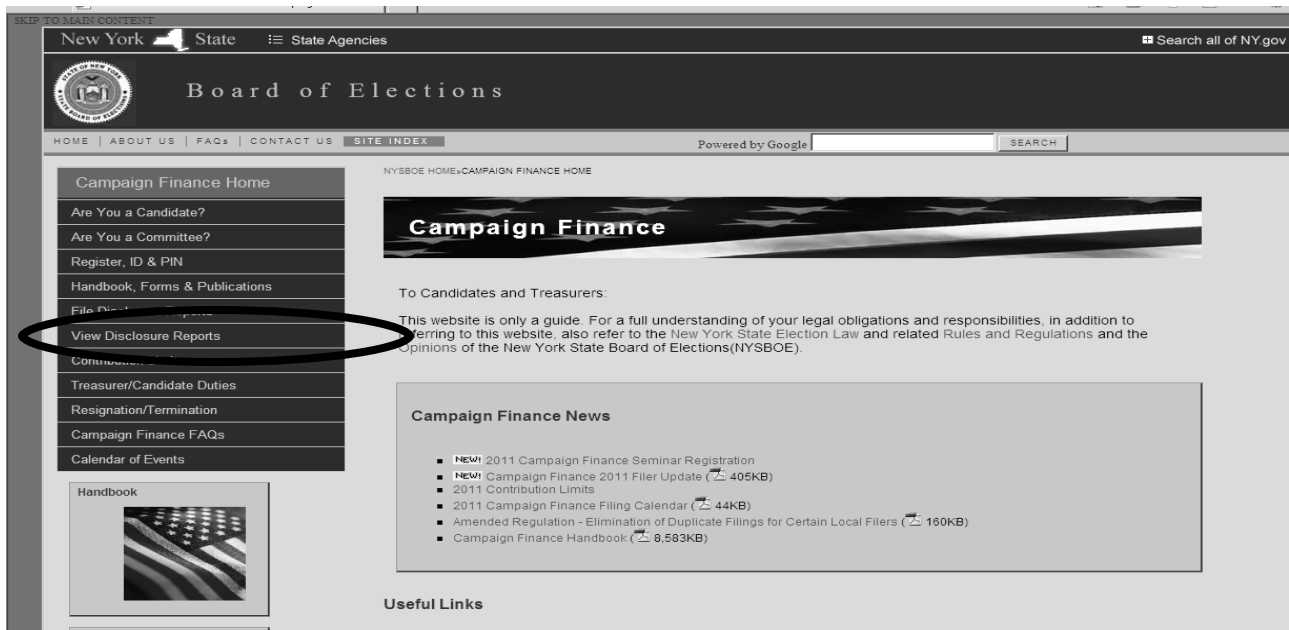
To search for your Committee, input one (1) word unique to the name of your Committee:

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

All the campaign financial disclosure reports that NYSBOE has received from you since July 1999 will now be visible.

### b) Verify Content

1. CLICK on the 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



The screenshot shows the New York State Board of Elections website. The header includes the state logo and navigation links. The main content area is titled "Campaign Finance" and includes a section for "To Candidates and Treasurers" with a disclaimer. Below this is a "Campaign Finance News" section with several links to updates and handbooks. A left-hand navigation menu is visible, with the "View Disclosure Reports" link circled in red.

SKIP TO MAIN CONTENT

New York State State Agencies Search all of NY.gov

Board of Elections

HOME ABOUT US FAQs CONTACT US SITE INDEX Powered by Google SEARCH

NYSBOE HOME>CAMPAIGN FINANCE HOME

**Campaign Finance**

To Candidates and Treasurers:

This website is only a guide. For a full understanding of your legal obligations and responsibilities, in addition to referring to this website, also refer to the New York State Election Law and related Rules and Regulations and the Opinions of the New York State Board of Elections(NYSBOE).

**Campaign Finance News**

- **New!** 2011 Campaign Finance Seminar Registration
- **New!** Campaign Finance 2011 Filer Update ( 405KB)
- 2011 Contribution Limits
- 2011 Campaign Finance Filing Calendar ( 44KB)
- Amended Regulation - Elimination of Duplicate Filings for Certain Local Filers ( 160KB)
- Campaign Finance Handbook ( 8.583KB)

**Useful Links**

**Campaign Finance Home**

- Are You a Candidate?
- Are You a Committee?
- Register, ID & PIN
- Handbook, Forms & Publications
- File Disclosures
- View Disclosure Reports**
- Committee Filings
- Treasurer/Candidate Duties
- Resignation/Termination
- Campaign Finance FAQs
- Calendar of Events

Handbook

Filing Calendar

## 11. Amending a Report

1. If incorrect information is detected, return to the EFS software to make necessary corrections to the EXISTING report that has already been filed with NYSBOE (see Step #6, **Deleting or Correcting Transactions Prior to Sending the Report**).
2. After the necessary corrections have been made repeat Step #8, **Saving Campaign Financial Disclosure Report(s)**, selecting [AMENDMENT] for amended filing (*see screen shot below*).

NOTE: After selecting amended filing continue with Step #8 Saving Campaign Financial Disclosure Reports and Step #9 Submitting Campaign Financial Disclosure Reports to NYSBOE. Don't forget to verify the receipt and content of the reports submitted.



## 12. Technical Assistance

For more details, refer to the NYSBOE Electronic Filing Software (EFS) User Guide available at [www.elections.state.ny.us/Campaign Finance/File Disclosure Reports](http://www.elections.state.ny.us/Campaign%20Finance/File%20Disclosure%20Reports).

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 (option 5) or 1-800-458-3453; or send an email to: [efshelp@elections.state.ny.us](mailto:efshelp@elections.state.ny.us).