



Hawaii State Ethics Commission



Candidate Disclosures

Electronic Filing System
User Guide

March 2018

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Disclaimer

This guide is intended for instructional purposes only and is not meant to be a comprehensive summary of the Hawaii State Ethics Code. If there is a conflict between this Guide and the Hawaii State Constitution, statutes, or administrative rules, Hawaii law shall apply.

Candidate Disclosures

The Financial Disclosure Law, Hawaii Revised Statutes § 84-17, requires candidates running for state elective offices to file a Disclosure of Financial Interests with the Hawaii State Ethics Commission (“Commission”).

Financial disclosures help to ensure governmental accountability and transparency by identifying financial interests that may conflict with a state official’s duties and responsibilities to the public.

Who is Required to File?

Candidates for governor, lieutenant governor, State Senate, State House of Representatives, Office of Hawaiian Affairs trustee, and state constitutional convention delegates.

You must file a candidate disclosure, even if you have already filed a regular financial disclosure this year based on your current state position.

Filing Deadlines

Candidate disclosures shall be filed no later than **20 days** prior to the date of the state primary election. In an election year, the filing deadlines will be posted on the Commission’s website at <http://ethics.hawaii.gov>.

Financial Interests to be Reported

Filers are required to report certain types of financial interests, such as income; business ownership; stocks, bonds, and mutual funds; officer or director positions in for-profit or non-profit business; real property; loans; names of clients represented before state agencies; and creditor interests in an insolvent business.

Candidates are required to report their own financial interests (including jointly held assets). They are not required to report financial interests that are owned solely by a spouse or dependent child.

Public Records

Candidate disclosures are designated as public records, and are available for inspection at the Commission’s office or via the Commission’s website at <http://ethics.hawaii.gov>.

Penalties

Candidates who fail to file a disclosure by the statutory deadline shall be assessed a **\$50 late penalty**. In addition, the Commission will publish a list of all candidates who have failed to file a disclosure as required by law.



Disclosure Period:

Candidates must report all financial interests held or sold between January 1 of the preceding calendar year and the date of filing.



Questions?

Please contact us at:

1001 Bishop St., Ste. 970
Honolulu, HI 96813
(808) 587-0460
ethics@hawaiiethics.org

E-Filing Procedures: How to File a Financial Disclosure

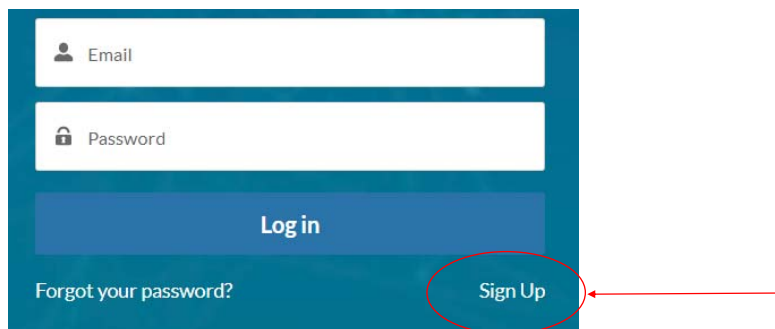
Step 1: Access the Commission's E-Filing System

To access the Commission's E-Filing system, go to <https://hawaiiethics.force.com/disclosures/s/> and click **LOGIN**.

In order to file disclosures electronically through the E-Filing system, you must have an account.

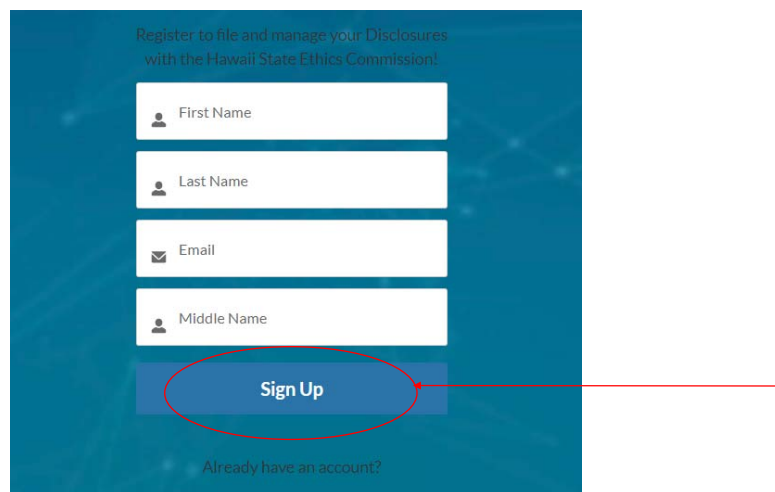
Step 2A: Create an Account (for New Users)

- a. Click **Sign Up** to create an account. If you already have an account, skip to **Step 2B**.



A screenshot of a login page with a teal background. It features two input fields: 'Email' and 'Password'. Below the fields is a blue 'Log in' button. At the bottom left, there is a link that says 'Forgot your password?'. At the bottom right, there is a 'Sign Up' button, which is circled in red with a red arrow pointing to it from the right.

- b. Enter your first, middle, and last name, your email address, and click **Sign Up**.



A screenshot of a registration page with a teal background. At the top, it says 'Register to file and manage your Disclosures with the Hawaii State Ethics Commission.' Below this are four input fields: 'First Name', 'Last Name', 'Email', and 'Middle Name'. At the bottom, there is a blue 'Sign Up' button, which is circled in red with a red arrow pointing to it from the right. Below the button is a link that says 'Already have an account?'.

- c. A separate email will be sent to your email address with further instructions on how to finish creating your account.

e-Tips

You can also access the E-filing system from the Commission's website at <http://ethics.hawaii.gov>

Browser Requirements:

We recommend that you use **Google Chrome**, **Mozilla Firefox**, or **Safari**. If you use Internet Explorer, you may experience some delays on certain functions (like drop-down menus).

e-Tips

Select an email address that you check on a regular basis.

Your email address will serve as the primary address for all email notices and reminders sent by the Commission.

Remember to adjust your junk mail/spam filter to receive email notices.

If you change your email address, please contact the Commission to update your account.

- d. After you receive the email, click on the link within the email. A new window on your web browser will open asking you to set your password.

Enter your password and click return. Re-enter your password to confirm, and click **Change Password**.

Change Your Password

Enter a new password for (your email)

Your password must have at least:

- 8 characters
- 1 letter
- 1 number

* New Password

* Confirm New Password

Change Password

After you have successfully created an account, you should see the homepage for the E-Filing system.

Step 2B: Log Into Your Account (if you already have one)

If you already have an account, enter you email and password, and click **Log In**.

Email

Password

Log in

Forgot your password? Sign Up

After you have successfully logged into your account, you should see the homepage for the E-Filing system.

e-Tips

Your password is case sensitive. It must contain a minimum of 8 characters, and must include at least one letter and one number.

e-Tips

Use the same email address that you used to create your account.

If you change your email address, please contact the Commission to update your account.

Step 3: Create a New Financial Disclosure

After you have logged in, click on **MY CANDIDATE DISCLOSURES** on the menu bar.



This will direct you to the **Candidate Financial Disclosures LIST** view, which displays a list of your filed disclosures, as well as any draft disclosures that have not yet been submitted and filed with the Commission.



Click **New** to create a new disclosure.

This will open a new window called the **Candidate Financial Disclosure Main Page**.

- a. The **Filing Year** is automatically entered based on the current election year.

e-Tips

Items with a **red asterisk *** must be completed.

e-Tips

Your contact information will be redacted before your disclosure is posted and made publicly available.

- b. Select which **State Elective Office** and **District** you are running for election.

For statewide offices such as governor or lieutenant governor, select “State of Hawaii” as the district. For legislative and OHA offices, select the corresponding district or island you are representing.

The screenshot shows the 'Candidate Financial Disclosure Main' form. The 'Filing Year' is set to 2018. The 'State Elective Office' dropdown is highlighted with a red circle, and an arrow points to its expanded list which includes: --None--, Governor, Lieutenant Governor, Senate, House of Representative, and Office of Hawaiian Affairs. The 'District (Statewide, District, Island)' dropdown is also highlighted with a red circle, and an arrow points to its expanded list which includes: --None--, District 1, District 2, District 3, District 4, District 5, and District 6.

- c. Enter your **address** and **phone number**.

NOTE: If you have already filed once before using this e-filing system, your contact information will automatically be entered on your form. If your contact information has changed, please enter your current address and phone number.

- d. Enter your **electronic signature** and click **Save**.

NOTE: do not click **Save & New** since this will create another blank form. If you click **Save & New** by mistake, click **Cancel**.

This will bring you back to the **Candidate Financial Disclosure Main Page**. Scroll down the page to view the sections of the form.

The screenshot shows the 'Candidate Financial Disclosure Main Page' with a list of sections, each with a 'New' button: Income (0), Creditors (0), Properties (0), Business Interests (0), Officer/Directors (0), Clients (0), and Creditor of Insolvent Businesses (0).

e-Tips

Candidates are only required to report your own financial interests (including jointly-held assets); interests owned solely by a spouse or dependent child do not need to be reported.

Who Holds Interest?

Help Bubbles: Certain sections include instructions on what type of information to report. To view these help guides, move your cursor over the small gray circles with a lower-case letter i.

e-Tips

Navigational Tips

The **Main Page** view will display a maximum of 6 items per section.

Select **View All** to see all items entered in a section.

To go back to a previous page, use the **Back Arrow** button on your browser.

Step 4: Complete Your Disclosure

For each of the following sections, report your own financial interests (including any jointly held assets). You do not need to report interests that are owned solely by your spouse or dependent child.

a. Income

Scroll down to **Income**. To report a source of income, click **New** and enter your information as directed. **NOTE: If you are a state employee, be sure to include your state salary here.**

To report additional items, click **Save & New**; otherwise click **Save**.

b. Creditors

Scroll down to **Creditors**. To report loans held during the disclosure period, click **New** and enter your information as directed. If you have nothing to report, skip to the next section. To report additional items, click **Save & New**; otherwise click **Save**.

e-Tips

Items to be Reported?

Income of \$1,000 or more received between Jan. 1 and Dec. 31 last year for services rendered, such as income for employment and contract services, rental income, compensation for serving on a board, etc.

You do not need to report retirement-based income or government benefits, such as social security, pension, and disability payments.

e-Tips

Items to be Reported?

All creditors to whom \$3,000 or more is owed (mortgage, home equity loan, personal loan, etc.). You do not need to include credit card debt, retail installment payments, or other accounts payable for retail goods and services.

Step 4: Complete Your Disclosure (continued)

c. Properties

Scroll down to **Properties**. If you owned or sold any real property interests during the disclosure period, click **New**. If you have nothing to report, skip to the next section.

The screenshot shows a header bar with 'Properties (0)' and a 'New' button circled in red. Below it is a 'New Property' dialog box with the following options:

- Select a record type
 - Property Owned
 - Property Owned, Personal Residence
 - Property Sold
 - Property Sold, Personal Residence

Buttons for 'Cancel' and 'Next' are at the bottom.

A new window will appear; select one of the options indicated.

- If you own a personal residence, select **Property Owned, Personal Residence**.
- If you own investment or commercial property (i.e., it is not your primary residence), select **Property Owned**.
- If you sold your personal residence during the disclosure period, select **Property Sold, Personal Residence**.
- If you sold your investment or commercial property during the disclosure period, select **Property Sold**.

Enter your information as directed. To report additional items, click **Save & New**; otherwise click **Save**.

The left screenshot is titled 'New Property: Property Owned' and includes sections for 'Property Information' and 'Purchased or Acquired within the Last Year?'. The right screenshot is titled 'New Property: Property Sold' and includes sections for 'Property Sold Within the Last Year' and 'Property Sale/Transfer Information'. Both forms have 'Cancel', 'Save & New', and 'Save' buttons at the bottom.

e-Tips

Items to be Reported?

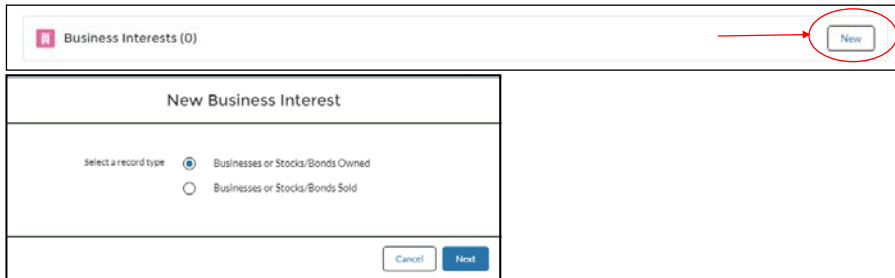
All real property interests (valued at \$10,000 or more), including your personal residence, any property owned for commercial or investment purposes, and any property interests located outside of the state.

You do not need to disclose the street address and tax map key number of your personal residence.

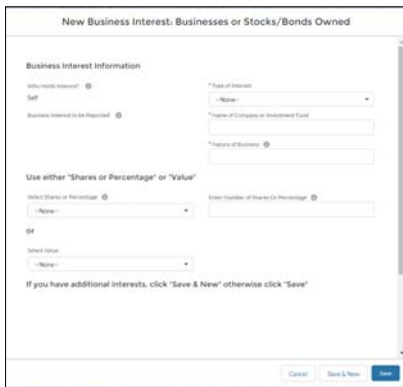
Step 4: Complete Your Disclosure (continued)

d. Business Interests

Scroll down to **Business Interests**. To report any business interests that were owned or sold during the disclosure period, click **New** and select one of the options. If you have nothing to report, skip to the next section.

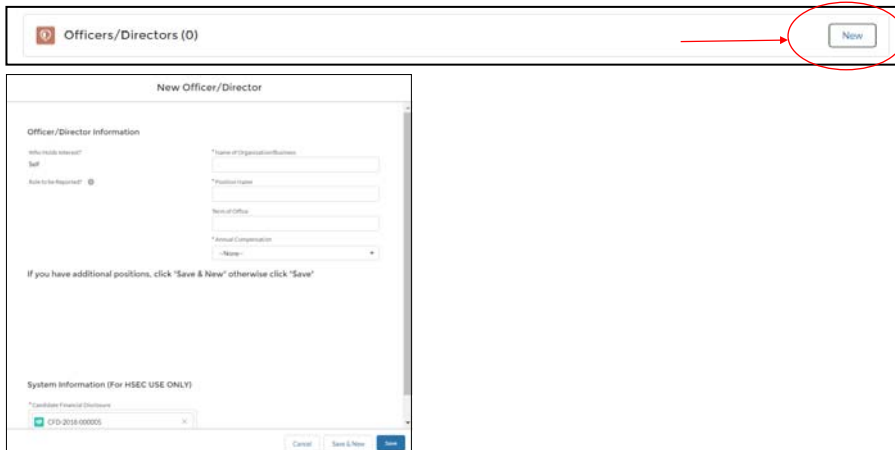


Enter your information as directed. To report additional items, click **Save & New**; otherwise click **Save**.



e. Officers & Directors

Scroll down to **Officers/Directors**. If you are an officer, director, or a trustee of a private business or non-profit organization, click **New** and enter your information as directed. If you have nothing to report, skip to the next section.



To report additional items, click **Save & New**; otherwise click **Save**.

e-Tips

Items to be Reported?

Stocks, bonds, mutual funds, and other ownership interests in a company, where the value of the interest is \$5,000 or more, or equal to 10% or more of the company.

You do not need to report personal savings, checking accounts, certificate of deposits, or money market funds; tax deferred retirement accounts (deferred compensation plans, IRAs, 401k plans); tax-deferred qualified tuition plans (529 college savings plans); tax-deferred health savings accounts; or social security benefits.

e-Tips

Items to be Reported?

Any officer, director, trustee, or other fiduciary position held in a private business, including a corporation, association, union, partnership, trust, foundation, and non-profit organization.

Step 4: Complete Your Disclosure (continued)

f. Clients

Scroll down to **Clients**. If you personally represented clients before a state agency for a fee or other compensation during the disclosure period, click **New** and enter your information as directed. If you have nothing to report, skip to the next section.

The screenshot shows a web interface for reporting clients. At the top, there is a header for 'Clients (0)' with a 'New' button circled in red. Below this is a form titled 'New Client'. The form is divided into two main sections: 'Client Information' and 'System Information (For HSEC USE ONLY)'. Under 'Client Information', there are fields for 'Who Holds Interest?' (with 'Self' selected), 'Client Name', 'Clients to be Reported?' (with a radio button selected), and 'Name of State Agency'. A note below these fields says 'If you have additional clients, click "Save & New" otherwise click "Save"'. Under 'System Information', there is a field for 'Candidate Financial Disclosure' with the value 'CFD-2018-000005'. At the bottom of the form are three buttons: 'Cancel', 'Save & New', and 'Save'.

To report additional items, click **Save & New**; otherwise click **Save**.

g. Creditor of Insolvent Businesses

Scroll down to **Creditor of Insolvent Businesses**. To report a creditor interest in an insolvent business, click **New** and enter your information as directed. If you have nothing to report, continue to the next step.

The screenshot shows a web interface for reporting creditor interests in insolvent businesses. At the top, there is a header for 'Creditor of Insolvent Businesses (0)' with a 'New' button circled in red. Below this is a form titled 'New Creditor of Insolvent Business'. The form is divided into two main sections: 'Financial Interest Information' and 'System Information (For HSEC USE ONLY)'. Under 'Financial Interest Information', there are fields for 'Who Holds Interest?' (with 'Self' selected), 'Business Name', 'What is an Insolvent Business?' (with a radio button selected), 'Type of Interests to be Reported?' (with a radio button selected), 'Describe the Nature of Your Interest', 'Value' (with a dropdown menu showing '--None--'), and a note: 'If you have additional businesses, click "Save & New" otherwise click "Save"'. Under 'System Information', there is a field for 'Candidate Financial Disclosure' with the value 'CFD-2018-000005'. At the bottom of the form are three buttons: 'Cancel', 'Save & New', and 'Save'.

To report additional items, click **Save & New**; otherwise click **Save**.

e-Tips

Items to be Reported?

Clients that you personally represented before a state agency for a fee or other compensation.

You do not need to include representations that solely involve ministerial matters; matters in which you were acting in your official state capacity; and legal matters before the courts.

e-Tips

Items to be Reported?

Any creditor interest in an insolvent business, where the value of the creditor interest is \$5,000 or more.

An insolvent business is a company that has filed for bankruptcy protection under the federal bankruptcy code.

Step 5A: File Your Disclosure

Ready to file?

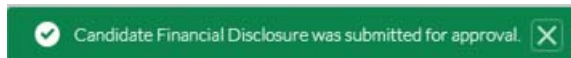
Review your disclosure one more time.

When you are ready to file, click **SUBMIT FOR APPROVAL** at the top of **Candidate Disclosure Main Page**.

This will open a new window. Click **SUBMIT** to file your disclosure.

Note: Do not enter filing comments or notes on the **Comments** screen, as the information will not be included on your disclosure.

After you submit your disclosure, you should see the following pop-up message on your screen.



Click on **MY CANDIDATE DISCLOSURES** on the menu bar to return to the **Candidate Disclosures LIST** view. Your disclosure will be listed with the date and time when it was electronically filed.

	CANDIDATE FINANCIAL DIS...	FILING YEAR	CREATED DATE	DATE FILED	DATE AMENDED
1	CFD-2018-000005	2018	1/31/2018 1:23 PM	2/8/2018 4:21 PM	

After you file, you will receive an automatic email confirmation. If you don't receive one within a few minutes, contact the Commission at 587-0460 or ethics@hawaiiethics.org.

e-Tips

Check Your Junk Mail

Check your junk email folder if you don't see the email confirmation in your regular inbox.

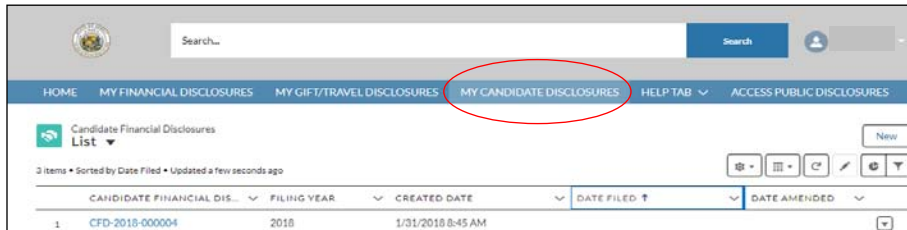
If your disclosure was properly submitted, the filing date and time should be displayed under the **Date Filed** column.

Step 5B: Save Disclosure and File Later

Not Ready to File?

You can save your disclosure and file it later. Each time you enter information and click **Save**, your information will be saved under your account.

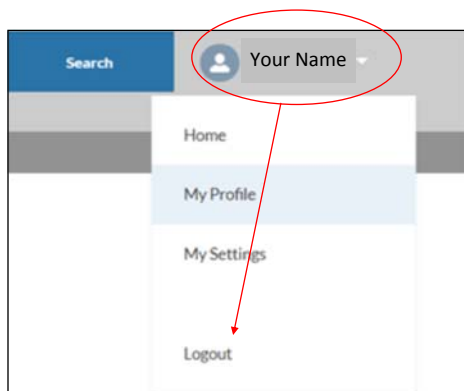
Click on **MY CANDIDATE DISCLOSURES** on the menu bar to return to the **Candidate Disclosures LIST**. You should see a list of all your disclosures, including your draft reports.



Please remember to complete your disclosure and file it by the applicable deadline. Filing deadlines are posted on the Commission's website at <http://ethics.hawaii.gov>.

How to Log Out

To log out of the E-Filing system, click on your username (in the upper right corner of the menu bar) and select **Logout**.

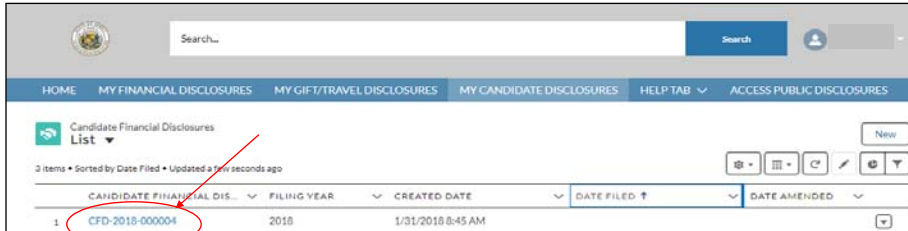


E-Filing Procedures: Editing a Draft Disclosure

To continue working on your draft disclosure:

Log-in and click on **MY CANDIDATE DISCLOSURES**.

On the **Candidate Disclosures LIST**, click on the **CFD#** to open your draft disclosure.

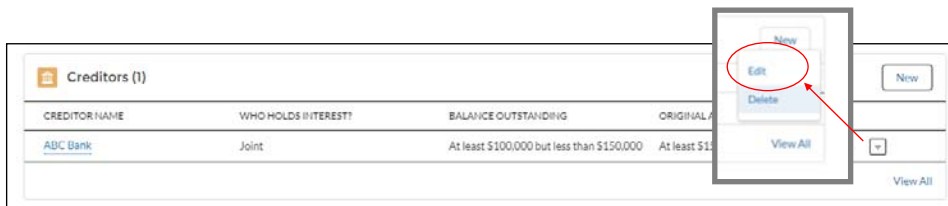


To add an item:

On the **Candidate Disclosure Main Page**, scroll down to the specific section and click **New** to add a new item.

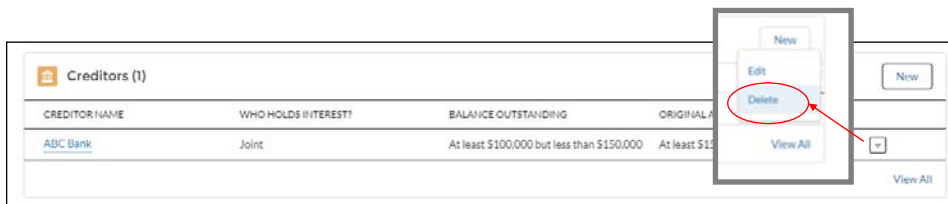
To edit an item:

On the **Candidate Disclosure Main Page**, scroll down to the specific section. Click on the arrow button for the particular item, and select **Edit**. Enter your changes and click **Save**.



To delete an item:

On the **Candidate Disclosure Main Page**, scroll down to the specific section. Click on the arrow button for the particular item, and select **Delete**.



The message window will ask you “Are you sure you want to delete this Item?” If yes, click **Delete**.

E-Filing Procedures: Amending a Filed Disclosure

To amend your disclosure after it is filed:

Log-in and click on **MY CANDIDATE DISCLOSURES**. On the **Candidate Disclosures LIST**, click on the **CFD#** to open your disclosure.

CANDIDATE FINANCIAL DIS...	FILING YEAR	CREATED DATE	DATE FILED ↓	DATE AMENDED
1 CFD-2018-000005	2018	1/31/2018 1:23 PM	2/8/2018 4:21 PM	

On the **Candidate Disclosure Main Page**, scroll down to the specific section and make your changes. To add an item, click **New**. To edit or delete an item, click on the arrow button for a particular item, and select **Edit** or **Delete**.

CREDITOR NAME	WHO HOLDS INTEREST?	BALANCE OUTSTANDING	ORIGINAL LA
ABIC Bank	Joint	At least \$100,000 but less than \$150,000	At least \$15

When you are ready to file your amended disclosure, click **SUBMIT FOR APPROVAL**, and click **SUBMIT**.

NOTE: Your changes will not be filed with the Commission unless you click SUBMIT FOR APPROVAL.

Click on **MY CANDIDATE DISCLOSURES** on the menu bar to return to the **Candidate Disclosures LIST** view. The date and time when your amended disclosure was filed will be displayed under the **Date Amended** column.

CANDIDATE FINANCIAL DIS...	FILING YEAR	CREATED DATE	DATE FILED ↓	DATE AMENDED
1 CFD-2018-000005	2018	1/31/2018 1:23 PM	2/8/2018 4:21 PM	2/8/2018 4:52 PM

After you file, you will receive an automatic email confirmation. If you don't receive one within a few minutes, contact the Commission at 587-0460 or ethics@hawaiiethics.org.

e-Tips

After you click **SUBMIT FOR APPROVAL**, do not enter filing comments or notes on the **Comments** screen, as the information will not be included on your disclosure.

e-Tips

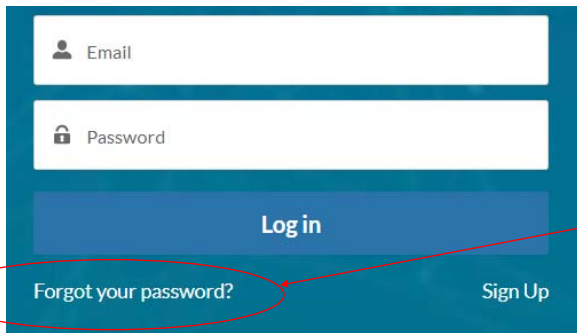
Check Your Junk Mail

Check your junk email folder if you don't see the email confirmation in your regular inbox.

If your disclosure was properly submitted, the filing date and time should be displayed under the **Date Amended** column.

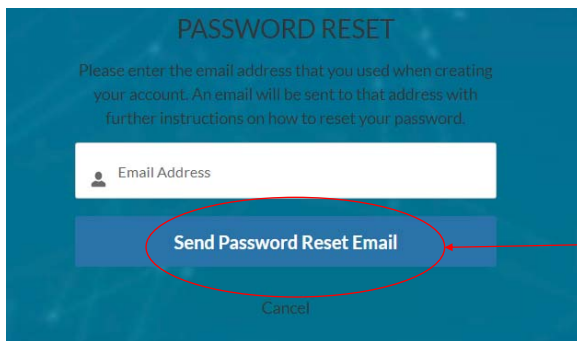
Forgot Your Password?

If you forgot your password, click on **Forgot Your Password?**



The screenshot shows a login form with two input fields: 'Email' and 'Password'. Below the fields are three buttons: 'Log in', 'Forgot your password?', and 'Sign Up'. The 'Forgot your password?' link is circled in red, with a red arrow pointing to it from the right.

Enter your email address to request instructions on re-setting your password, and then click on **Send Password Reset Email**.

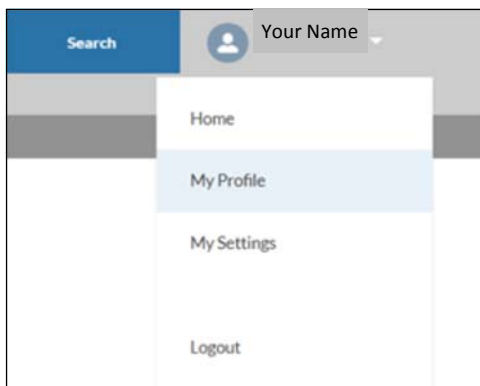


The screenshot shows the 'PASSWORD RESET' page. It has a heading 'PASSWORD RESET' and a paragraph: 'Please enter the email address that you used when creating your account. An email will be sent to that address with further instructions on how to reset your password.' Below this is an 'Email Address' input field. At the bottom are two buttons: 'Send Password Reset Email' and 'Cancel'. The 'Send Password Reset Email' button is circled in red, with a red arrow pointing to it from the right.

A separate email will be sent to your email address with instructions on how to change your password. After you receive the email, click on the link in the email to change your password.

Update Your Profile & Account Settings

From the homepage of the E-Filing system, click on your username (in the upper right corner) and select **My Profile** to update your profile information.



The screenshot shows a user profile dropdown menu. At the top is a search bar and a user profile icon labeled 'Your Name'. The dropdown menu is open, showing four options: 'Home', 'My Profile', 'My Settings', and 'Logout'. The 'My Profile' option is highlighted in light blue.

To change your password, select **My Settings**.

Click on the **HOME** tab to return to the homepage.

e-Tips

If you have any problems logging in, please contact the Commission at:

(808) 587-0460

or

ethics@hawaiiethics.org

FAQs

Candidate Disclosures

- Q:** I am running for state elective office this year. I already filed a regular financial disclosure earlier this year based on my state position. Do I need to file a separate Candidate Disclosure?
- A:** Yes. All candidates for state elective office are required to file a Candidate Disclosure, even if the person has already filed a regular financial disclosure form based on his or her position as a state legislator, state employee, or state board member. State candidates are only required to disclose their own financial interests (and not their spouse's or dependent child's interests).

Extensions of Time to File

- Q:** Can I request an extension of time to file my candidate disclosure?
- A:** No. By law, candidate disclosures must be filed no later than 20 days prior to the date of the state primary election. This is to ensure that voters have an opportunity to review information prior to casting their ballots.

Filing Confirmation

- Q:** I tried submitting my disclosure on-line, but I did not receive an email confirmation. What should I do?
- A:** Check your junk mail folder and adjust your junk email/spam filter. If you do not receive a confirmation, please contact the Commission immediately to make sure that your disclosure was filed.

Update Your Email Address

- Q:** I changed my email address since the last time I filed a disclosure. What do I need to do?
- A:** The email address that you originally used to create your account serves as your log-in and contact information for all email notifications and reminders sent by the Commission. If you change your email address, please contact the Commission to update your account.

Amending a Disclosure

- Q:** I forgot to report a financial interest on my disclosure. What should I do?
- A:** If you omitted items on your disclosure or need to make corrections, file an amended disclosure as soon as possible.



Additional Resources

Please see Commission's website for additional ethics resources:

<http://ethics.hawaii.gov>



Questions?

Please contact us at:

**1001 Bishop St., Ste. 970
Honolulu, HI 96813
(808) 587-0460
ethics@hawaiiethics.org**

FAQs

Elected Officials

Q: If I am elected, do I need to file a regular Financial Disclosure?

A: Yes. State elected officials must file a financial disclosure on an annual basis, and report all financial interests, including those held by a spouse or dependent child. New legislators must file an initial disclosure within 30 days of being elected or appointed to their position; current legislators must file their annual disclosures by January 31.

Viewing and Printing Your Disclosure

Q: Can I request a copy of my financial disclosure?

A: Since all of your disclosures are saved on your account, you can view your disclosures on your computer by clicking on **MY CANDIDATE DISCLOSURES** on the menu bar. A Print/Preview option is currently being developed and will be available in the near future. If you need a copy of your disclosure that was filed using our old system, please contact us.

Campaign Restrictions for State Officials

Q: Are there ethics rules that apply to state officials and state employees involved in political campaign activities?

A: Yes. The State Ethics Codes prohibits state officials and employees from using state resources such as state time, equipment, supplies, and state facilities for campaign purposes or activities. In addition, state officials and employees may not use their official position to solicit campaign contributions or assistance from anyone.

For more information, please refer to guidance posted on the Commission's website (<http://ethics.hawaii.gov/category/guidance/publications/guidelines/campaigning/>).



Additional Resources

Please see Commission's website for additional ethics resources:

<http://ethics.hawaii.gov>



Questions?

Please contact us at:

**1001 Bishop St., Ste. 970
Honolulu, HI 96813
(808) 587-0460
ethics@hawaiiethics.org**