

Retention and Classification Report

Agency: Department of Commerce. Division of Securities (871)

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Records Officer: _____

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AGENCY: Department of Commerce. Division of Securities

SERIES: 22621

3

TITLE: 506 Private placement records

DATES: 1996-

ARRANGEMENT: Alphabetical by issuer surname

ANNUAL ACCUMULATION: 6.00 cubic feet.

DESCRIPTION:

These files document 506 Private Placement offerings, registered with the Department of Commerce, Division of Securities. These records are created for the purpose of ensuring compliance with the Uniform Securities Act (UCA 61-1 thru 30 (1999). The records contain corporate finance filings.

RETENTION:

Retain for 7 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Contract and lease records, GRS-1731.

AUTHORIZED: 07-30-2019

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 6 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).

PRIMARY DESIGNATION:

Public

AGENCY: Department of Commerce. Division of Securities

SERIES: 80745

3

TITLE: Accounts receivable invoices

DATES: undated.

ARRANGEMENT: None.

DESCRIPTION:

Invoices billing non-state agencies or institutions for supplies, services or repairs provided by an agency.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 05/2016.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80754

3

TITLE: Administrative files and correspondence

DATES: 1969-

ARRANGEMENT: Chronological thereunder alphabetical by firm or individual name

DESCRIPTION:

These records document administrative actions taken by the division. They contain sectional correspondence about policies, programs, filings, and certificates. Included are administrative orders, orders to show cause, stipulation and consent, records of fines, and all related correspondence. Until 2010, these records were titled "Administrative correspondence."

RETENTION:

Permanent. Retain for 50 year(s) after case is closed

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Open meeting minutes & supplementary materials, GRS-1709.

AUTHORIZED: 10-28-2020

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year after case is closed and then transfer to State Records Center. Retain in State Records Center for 49 years and then transfer to State Archives with authority to weed.

Computer data files: Retain in Office until administrative need ends and then delete provided paper is still the record copy.

APPRAISAL:

These records have administrative value(s).

These records document the administrative actions of the division and contain sectional correspondence to approve filings and certificates.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80754

TITLE: Administrative files and correspondence

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private. UCA 63G-2-302(2)(d)

AGENCY: Department of Commerce. Division of Securities

SERIES: 5537

3

TITLE: Administrative records

DATES: 1972-

ARRANGEMENT: Alphanumerical by subject.

DESCRIPTION:

Records created by agency administration to document the research, creation and application of agency programs, policies and procedures. May include correspondence, policy and program case files, and executive files documenting leadership roles and decision making processes.

RETENTION:

Permanent. Retain for 5 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Program and policy development records, GRS-1717.

AUTHORIZED: 02-26-2020

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 4 years and then transfer to State Archives with authority to weed.

Microfiche master: Retain in State Archives permanently with authority to weed.

Microfiche duplicate: Retain in State Archives permanently with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s).
These records have evidentiary value as they track the history of different administrations and policy making and procedures in the agency.

AGENCY: Department of Commerce. Division of Securities

SERIES: 5537

TITLE: Administrative records

(continued)

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 04/2017.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80742

3

TITLE: Administrative rules file

DATES: 1963-

ARRANGEMENT: Chronological

DESCRIPTION:

This is a proposal by agency to adopt a new administrative rule or change an existing rule. It includes the agency name and address, the contact person, the rule title, a summary of the rule or change and the reason for it, the anticipated cost impact, the type of notice, a justification for a 120 day rule, any applicable state or federal mandate, the means of public comment (at public hearing, by appearing at the agency, or by written comment) the period for comments, the signature of the agency head or designee, the date the notice was signed, the date and time the notice was received in the Office of Administrative Rules and the name of the person receiving it, the dates the 120 day rules become effective and lapse, and the Office of Administrative Rules and the originating agency's numbers.

RETENTION:

Permanent. Retain until administrative need ends

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office until no longer administratively valuable and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s).
The rulemaking function of the division is part of its policy-setting activities. As a result, this is a document of long-term interest and should be retained permanently.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80742

TITLE: Administrative rules file

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Department of Commerce. Division of Securities

SERIES: 5609

3

TITLE: Annual reports

DATES: 1919-1982.

ARRANGEMENT: Chronological by year.

DESCRIPTION:

This is a report by the division setting forth its activities for the previous calendar year and includes a current list of broker-dealers, agents, and Investment Advisors registered. This report includes information on personnel, the division structure, comparison reports of receipts, expenditures and registration, total allotments, issuer list, broker-dealer list, Investment Advisor list, and agent list. Any record, regardless of format, that is issued by a governmental entity for public distribution at the total or partial expense of that governmental entity. See Utah Code Section 9-7-101(7)(2017) and 9-7-208(4)(2006).

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Publications, GRS-1678.

AUTHORIZED: 10-30-2018

FORMAT MANAGEMENT:

Paper: Retain in State Archives permanently with authority to weed.

Microfiche master: Retain in State Archives permanently with authority to weed.

Microfiche duplicate: Retain in State Archives permanently with authority to weed.

Microfilm master: Retain in State Archives permanently with authority to weed.

Microfilm duplicate: Retain in State Archives permanently with authority to weed.

Microfilm duplicate: Retain in Agency Record Center permanently.

AGENCY: Department of Commerce. Division of Securities

SERIES: 5609

TITLE: Annual reports

(continued)

APPRAISAL:

These records have administrative, and/or historical value(s).
This record has long-term research value because it reflects the historic process for documenting and regulating securities and corporations in Utah.

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 04/2017.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80741

3

TITLE: Attorney General's opinions

DATES: 1935-

ARRANGEMENT: Chronological

DESCRIPTION:

These are legal interpretations written by the Attorney General's office upon request by the division to guide them in enforcing and obeying the law.

RETENTION:

Permanent. Retain until administrative need ends

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office until no longer has administrative value and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s). As these opinions guide the division in its actions, they have long-term research value. They should be retained in the office as long as the division staff has need of them. Once the administrative value ends, they should be transferred to the State Archives.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Commerce. Division of Securities

SERIES: 24584

3

TITLE: Audit work files

DATES: 1999-

ARRANGEMENT: Alphabetical by case name.

ANNUAL ACCUMULATION: 15.00 cubic feet.

DESCRIPTION:

These files contain information obtained from broker-dealers and agents, investment advisers and investment adviser representatives, during securities audits. This information is compiled in order to create audit reports and exhibits. These files contain supporting documentation for administrative and civil securities cases.

RETENTION:

Retain for 10 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 02/2003

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 9 years and then destroy.

Audio cassettes: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 9 years and then destroy.

Video recordings master: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 9 years and then destroy.

AGENCY: Department of Commerce. Division of Securities

SERIES: 24584

TITLE: Audit work files

(continued)

APPRAISAL:

These records have administrative, fiscal, and/or legal value(s).

PRIMARY DESIGNATION:

Protected UCA 63G-2-305(9)(e)

AGENCY: Department of Commerce. Division of Securities

SERIES: 80726

3

TITLE: Broker dealer files

DATES: 1978-

ARRANGEMENT: Alphabetical by name

ANNUAL ACCUMULATION: 6.00 cubic feet.

DESCRIPTION:

This is the record of the registration of individuals engaged in the business of effecting transactions in securities and in advising others as to the value of securities and the advisability of investing in securities. According to UCA 61-1-4, the registration is good until December 31 of each year and must be renewed annually. The file includes the applicant's form and place of organization; the qualifications and business history of the applicant; in the case of a broker dealer or investment advisor, the qualifications and business history of any partner, officer, or director, any person occupying a similar status or performing similar functions, or any person directly or indirectly controlling the broker-dealer or investment advisor; and, in the case of an investment advisor, the qualifications and business history of any employee; any injunction or administrative order or conviction of a misdemeanor involving a security or any aspect of the securities business and any conviction of a felony; and the applicant's financial condition and history.

RETENTION:

Retain for 6 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

Microfilm master: Retain in Archives for 6 years and then

AGENCY: Department of Commerce. Division of Securities

SERIES: 80726

TITLE: Broker dealer files

(continued)

destroy.

Microfilm duplicate: Retain in Archives for 6 years and then destroy.

APPRAISAL:

These records have administrative, and/or legal value(s).
UCA 61-1-21 sets a five year statute of limitations for actions in violation of the Utah Uniform Securities Act.

PRIMARY DESIGNATION:

Public Where license is granted, whether or not later suspended or revoked and all other portions of the CRD file not included below.

SECONDARY DESIGNATION(S):

Private. Pending or withdrawn applications, CRD records, social security number, and home address.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80736

3

TITLE: Broker-dealer card file

DATES: 1925-

ARRANGEMENT: Alphabetical by name

DESCRIPTION:

This is a card file used as an index and as a quick reference to the Broker-Dealers currently and formerly registered in the state. This file includes the business name, address, date the application was filled out, the bond date, the registration date, the name of the corporate officer, and a record of activities including complaints against them (gives date filed, who filed it, and the reason for the complaint and the disposition). This record is not in paper format after 1988. It is in the computer data file.

RETENTION:

Retain permanently

DISPOSITION:

May Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office permanently.

APPRAISAL:

These records have administrative value(s).
Retention of this record will allow the office to maintain a permanent record of all the broker-dealers registered in the state.

AGENCY: Department of Commerce. Division of Securities

SERIES: 5538

3

TITLE: Cash receipts

DATES: 1978-1980.

ARRANGEMENT: Alphanumerical.

DESCRIPTION:

Agency copy of receipts given to customers who pay the agency for services rendered.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

FORMAT MANAGEMENT:

Paper: Retain in State Records Center for 3 years and then destroy.

APPRAISAL:

These records have fiscal value(s).

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 05/2016.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80730

3

TITLE: Civil litigation files

DATES: 1982-

ARRANGEMENT: alphabetical by name

ANNUAL ACCUMULATION: 3.00 cubic feet.

DESCRIPTION:

These records document civil litigation actions taken by the division or civil litigation actions filed against the division. This series includes records of hearings including evidence presented; a transcript of the hearing; pleadings and exhibits filed with the court; court orders; discovery records; findings of fact ; and conclusions of law. Records may contain supporting documents from investigative files or audit files. Before 2011, these records were entitled "Enforcement hearing files."

RETENTION:

Permanent. Retain for 20 year(s) after case is closed

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule High profile civil case files, GRS-2035.

AUTHORIZED: 02-26-2020

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year after case closed and then transfer to State Records Center. Retain in State Records Center for 19 years and then transfer to State Archives with authority to weed.

Computer data files: Retain in Office until administrative need ends and then delete provided paper copy is record copy.

APPRAISAL:

These records have administrative, historical, and/or legal value(s). The in office retention is to allow for any possible appeal actions on the cases. The files provide evidence of civil litigation in the State of Utah.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80730

TITLE: Civil litigation files

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private. UCA 63G-2-302

Protected. UCA 63G-2-305

AGENCY: Department of Commerce. Division of Securities

SERIES: 80728

3

TITLE: Coordinated issuer's files

DATES: 1982-

ARRANGEMENT: Alphabetical by name

ANNUAL ACCUMULATION: 18.00 cubic feet.

DESCRIPTION:

This is a record of the registration of securities that are subject to federal registration. Registration of these securities is required by UCA 61-1-9. This record series includes certificate of registration; application for securities registration; consent to service of process; corporate resolution; pricing amendments and prospectus or disclosure statement giving the plans and procedures of the company selling the securities; and final sales report.

RETENTION:

Retain for 6 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

APPRAISAL:

These records have administrative, and/or legal value(s). This retention is based on the statute of limitations in UCA 61-1-21.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80728

TITLE: Coordinated issuer's files

(continued)

PRIMARY DESIGNATION:

Public	Name of issuer, registration status, where registration was granted, and whether or not later revoked or suspended.
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SECONDARY DESIGNATION(S):

Private.	Pending or withdrawn applications.
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AGENCY: Department of Commerce. Division of Securities

SERIES: 80757

3

TITLE: CRD account detail report

DATES: 1983-

ARRANGEMENT: Chronological

DESCRIPTION:

This is a computer printout generated by the Central Registration Depository in Washington. It is part of a national registration of broker-dealers and agents and is used for reference purposes by the staff. The information includes the transaction number, the Central Registration Depository number, the agent or broker-dealer's name and social security number, a description of the fee, the account number, and the amount paid.

RETENTION:

Retain for 6 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy.

APPRAISAL:

These records have administrative value(s).
This record has administrative value only.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80757

TITLE: CRD account detail report

(continued)

PRIMARY DESIGNATION:

Private

AGENCY: Department of Commerce. Division of Securities

SERIES: 9608

1

TITLE: Employee travel reimbursement files

DATES: 1980-2013.

ARRANGEMENT: Alphabetical by employee surname.

DESCRIPTION:

Records relating to reimbursing individuals, such as travel orders, travel authorizations, per diem vouchers, transportation requests, hotel reservations, and all supporting records documenting official travel by officers, employees, dependents, or others authorized by law to travel.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is proposed and has not yet been approved.

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year after closure and then transfer to State Records Center. Retain in State Records Center for 2 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).
These records serve to track travel expenditures for the department.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Commerce. Division of Securities

SERIES: 80746

3

TITLE: Employment applications

DATES: undated.

ARRANGEMENT: None.

DESCRIPTION:

These are applications of candidates and employees.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then destroy.

APPRAISAL:

These records have administrative value(s).

Based on General Retention Schedule 1 Item 15a.

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 05/2016.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80740

3

TITLE: Enforcement index card file

DATES: 1982-2013.

ARRANGEMENT: Alphabetical by name

DESCRIPTION:

This is an index and finding aid to enforcement files. The information includes name, address, name of promoters, and license number.

RETENTION:

Retain for 40 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 40 years and then destroy.

APPRAISAL:

These records have administrative value(s).

This retention is to allow for referral by the staff of previous problems when they conduct investigations.

AGENCY: Department of Commerce. Division of Securities

SERIES: 4825

3

TITLE: Intrastate issuers files

DATES: 1979-1984.

ARRANGEMENT: Alphanumerical

DESCRIPTION:

This series contains files of corporations or companies applying to the Utah Securities Commission in order to issue stocks and bonds. The applications contain supporting documentation including, but not limited to: bylaws of corporations, correspondence between the commission and businesses, sample shares and stock certificates, pamphlets detailing the security offerings, articles of incorporation, the financial statements of applicants, and prospectus.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

FORMAT MANAGEMENT:

Paper: Retain in State Archives permanently with authority to weed.

Microfilm master: Retain in State Archives permanently with authority to weed.

Microfilm duplicate: Retain in State Archives permanently with authority to weed.

APPRAISAL:

These records have fiscal, and/or historical value(s).

This series has historical value because it documents trade practices in the state of Utah.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80729

3

TITLE: Investigation case files

DATES: 1967-

ARRANGEMENT: Alphabetical by surname

ANNUAL ACCUMULATION: 10.00 cubic feet.

DESCRIPTION:

This is the record of investigations conducted by the division under the authority of Utah Code 61-1-19(2009) of alleged violations of the Utah Uniform Securities Act. These files include complaints, subpoenas, financial records, copies of securities filings, and working papers of investigators.

RETENTION:

Retain for 50 year(s) after case is closed

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 01/2014

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years after the investigation is closed and then transfer to State Records Center. Retain in State Records Center for 48 years and then destroy.

APPRAISAL:

These records have administrative value(s). Retention of these records will allow the state to maintain background information on subsequent investigations as well as allow for additional information to turn up in cases where insufficient evidence exists.

RETENTION JUSTIFICATION:

AGENCY: Department of Commerce. Division of Securities

SERIES: 80729

TITLE: Investigation case files

(continued)

These are investigation records to determine the course of action to be taken and the foundation of the prosecution that may follow. Violations may lead to hearings, criminal investigation in conjunction with the Attorney General's office, or civil litigation. These are usually fraud cases related to stocks and bonds. Not every case can be grandfathered in to a new violation, but repeat offenders have occurred after a prison sentence has been served. There are a lot of repeat offenders and the background investigation to those violations need to be kept for the life of the violator. There has been a case of a violation at the age of 20 and that case

PRIMARY DESIGNATION:

Protected Utah Code 63G-2-305(2013)

AGENCY: Department of Commerce. Division of Securities

SERIES: 80738

3

TITLE: Issuer card file

DATES: 1929-2024.

ARRANGEMENT: Alphabetical by name

DESCRIPTION:

This is a record of securities that have been registered with the state. It is used as an index and finding aid. The file includes the company name and address, the file number, the type of issue, the case number, the receipt number, the dates filed and registered, and the date the record was transferred to the Archives for storage. After 1988 this record was maintained as a computer data file.

RETENTION:

Retain permanently

DISPOSITION:

May Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office permanently.

APPRAISAL:

These records have administrative value(s).

This retention is to ensure that a record of these issues will be kept for staff reference.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Commerce. Division of Securities

SERIES: 4724

3

TITLE: Issuer's case files

DATES: i 1947-1952, 1968-2013.

ARRANGEMENT: numerical

DESCRIPTION:

These case files include requests from the Department of Business Regulation for renewal of issuer's privileges and registrations over a period of time.

RETENTION:

Permanent. Retain for 1 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

FORMAT MANAGEMENT:

Paper: Retain in State Archives permanently with authority to weed.

AGENCY: Department of Commerce. Division of Securities

SERIES: 5435

3

TITLE: Issuers inactive files

DATES: 1979-1982.

ARRANGEMENT: Alphanumerical.

DESCRIPTION:

These are inactive requests from the Department of Commerce for renewal of issuer's privileges and registrations for securities companies. The Division of Securities no longer create or use these records.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 06/2017.

AGENCY: Department of Commerce. Division of Securities

SERIES: 811

3

TITLE: Issuers registers

DATES: 1928-1966.

ARRANGEMENT: Numerical by case number which is generally chronological by date.

DESCRIPTION:

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

FORMAT MANAGEMENT:

Paper: Retain in State Archives permanently with authority to weed.

APPRAISAL:

These records have historical value(s).

Disposition is based on the records value in providing a snapshot of the historic process for documenting and regulating corporations in Utah.

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 04/2017.

AGENCY: Department of Commerce. Division of Securities

SERIES: 13980

3

TITLE: Koyle Mining Company file

DATES: undated.

ARRANGEMENT: None.

TOTAL VOLUME: 1.00 reel.

DESCRIPTION:

This series contains various files concerning the Koyle Mining Company (also called the Dream Mine) gathered over time by the Securities Division, especially in regards to information about the selling of stock in the company. Examples of records include correspondence, a copy of a university thesis, and newspaper clippings.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

FORMAT MANAGEMENT:

Microfilm master: Retain in State Archives permanently with authority to weed.

Microfilm duplicate: Retain in State Archives permanently with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s). Documents the history of the Koyle Mining Company.

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 11/2017.

AGENCY: Department of Commerce. Division of Securities

SERIES: 5614

3

TITLE: Laws and regulations

DATES: 1933-

ARRANGEMENT: Chronological by date.

DESCRIPTION:

This series contains pamphlets created by the State Securities Commission with selections of the Utah Code pertaining to the State Securities Act, later also known as the Utah Uniform Securities Act.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Publications, GRS-1678.

AUTHORIZED: 10-30-2018

FORMAT MANAGEMENT:

Paper: Retain in State Archives permanently with authority to weed.

APPRAISAL:

These records have historical value(s).
Publications document agency history and functions. Publications have ongoing research value.

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 04/2017.

AGENCY: Department of Commerce. Division of Securities

SERIES: 807

3

TITLE: Minute books

DATES: 1919-1985.

ARRANGEMENT: Chronological by date of entry.

DESCRIPTION:

This series consists of bound minute books recording the actions of the Securities Commission, especially by the director. Entries are dated and signed with a brief description of the proceedings.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

FORMAT MANAGEMENT:

Paper: Retain in State Archives permanently with authority to weed.

APPRAISAL:

These records have historical value(s).

Disposition based on the value of these records in documenting agency achievements, decisions, policies, procedures, and function.

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 04/2017.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80758

3

TITLE: Miscellaneous exemption files

DATES: 1983-

ARRANGEMENT: Alphabetical by surname

ANNUAL ACCUMULATION: 1.50 cubic feet.

DESCRIPTION:

These are securities that are exempt from the registration provisions of UCA 67-1-7 (1993), which states "it is unlawful for any person to offer or sell any security in this state unless it is registered or the security or transaction is exempted under Section 61-1-14." Information includes securities issued by political bodies, foreign securities, federal savings and loan securities, credit union securities, common carrier securities, securities listed on stock exchanges, and securities issued by non-profit organizations..

RETENTION:

Retain for 5 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 08/1996

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy.

APPRAISAL:

These records have administrative value(s).
This disposition is based on the administrative needs expressed by the agency.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80758

TITLE: Miscellaneous exemption files

(continued)

PRIMARY DESIGNATION:

Public

AGENCY: Department of Commerce. Division of Securities

SERIES: 3271

3

TITLE: Mortuary regulation case files

DATES: 1960-1973.

ARRANGEMENT: Alphanumerical.

DESCRIPTION:

These are investigation files. Included are mortuary statements from banks regarding trust money, pre-need annual reports, contracts, licenses, applications for agent licenses, trust agreements, and copies of civil cases 148, 189 and 8468.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

FORMAT MANAGEMENT:

Paper: Retain in State Archives permanently with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s).
These are historical as they document the controversy regarding pre-need, or the purchasing of mortuary needs before death.

PRIMARY DESIGNATION:

Private

AGENCY: Department of Commerce. Division of Securities

SERIES: 22620

3

TITLE: Mutual fund records

DATES: 1996-

ARRANGEMENT: Alphabetical by issuer surname

ANNUAL ACCUMULATION: 12.00 cubic feet.

DESCRIPTION:

These files document Mutual Funds offerings, registered with the Department of Commerce, Division of Securities. These records are created for the purpose of ensuring compliance with the Uniform Securities Act (UCA 61-1 thru 30 (1999)).

RETENTION:

Retain for 6 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 04/2000

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

APPRAISAL:

These records have administrative, and/or legal value(s).

PRIMARY DESIGNATION:

Public

AGENCY: Department of Commerce. Division of Securities

SERIES: 9607

3

TITLE: Permanent employees personnel files

DATES: 1980-2013.

ARRANGEMENT: Alphabetical by employee surname.

DESCRIPTION:

Complete work history of individual while employed by the State. Refer to UCA 67-18-1, et seq. When an employee transfers to another state agency, the official personnel file must be sent to the new agency.

RETENTION:

Retain for 65 year(s) after separation

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Employment history records, GRS-1965.

AUTHORIZED: 01-26-2023

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year after separation or retirement and then transfer to State Records Center. Retain in State Records Center for 64 years and then destroy.

APPRAISAL:

These records have administrative, and/or legal value(s).
These files have legal value to verify work histories and benefits for employees.

PRIMARY DESIGNATION:

Private Eighteen personal data elements identified by the State Records Committee

AGENCY: Department of Commerce. Division of Securities

SERIES: 80747

3

TITLE: Press releases

DATES: undated

ARRANGEMENT: none

DESCRIPTION:

A copy of prepared statements or announcements issued for distribution to the news media. A press release may be a textual record or a non-textual record such as a film or video sound recording.

RETENTION:

Permanent. Retain for 2 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

AUTHORIZED: 12-01-2014

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, and/or historical value(s).
Based on General Retention Schedule 14 Item 1b.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Commerce. Division of Securities

SERIES: 24583

3

TITLE: Primary audit files

DATES: 1999-

ARRANGEMENT: Alphabetical by case name.

ANNUAL ACCUMULATION: 3.00 cubic feet.

DESCRIPTION:

These audit files contain information obtained from broker-dealers and agents, investment advisers and investment adviser representatives, as a result of a securities audit. These are the primary audit files which contain the audit reports and exhibits used in the case against the individual or company. These files may include client account information, correspondence, memoranda, trade blotters, ledgers, ledger accounts, trade confirmations, buy and sell tickets, new account information, cash and margin account documentation, employee records, employee licensing history, customer complaints and other like business documents.

RETENTION:

Retain for 10 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 02/2003

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years and then transfer to State Records Center. Retain in State Records Center for 7 years and then destroy.

Audio cassettes: Retain in Office for 3 years and then transfer to State Records Center. Retain in State Records Center for 7 years and then destroy.

Video recordings master: Retain in Office for 3 years and then transfer to State Records Center. Retain in State Records Center for 7 years and then destroy.

AGENCY: Department of Commerce. Division of Securities

SERIES: 24583

TITLE: Primary audit files

(continued)

APPRAISAL:

These records have administrative, fiscal, and/or legal value(s).

These records contain information used in auditing and investigating companies for their compliance with securities regulations.

PRIMARY DESIGNATION:

Protected UCA 63G-2-305(9)(e)

AGENCY: Department of Commerce. Division of Securities

SERIES: 25562

3

TITLE: Publications

DATES: c. 1960-

ARRANGEMENT: Chronological by year.

DESCRIPTION:

Documents created by the agency, including pamphlets, reports, leaflets, file manuals, annual reports, other published or processed documents, and the last manuscript report, if not published, relating to management projects. Holdings include undated "The Utah Securities Law...and You" (c.1960), Securities Bulletin (1984-1985), miscellaneous forms and regulations (1986) and Response to the Securities Fraud Task Force Report of 1984 (1987).

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule Publications, GRS-1678.

AUTHORIZED: 10-30-2018

FORMAT MANAGEMENT:

Paper: Retain in State Archives permanently with authority to weed.

APPRAISAL:

These records have historical value(s).
Publications which document agency history and functions have ongoing research value.

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 04/2017.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80753

3

TITLE: Receipt books

DATES: 1984-2013.

ARRANGEMENT: Numerical by receipt number.

DESCRIPTION:

These are receipts issued for the payment of registration fees. Includes payer, the payment amount, the reason for the payment, and the receipt number.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 3 years and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).

PRIMARY DESIGNATION:

Private

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 06/2017.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80748

3

TITLE: Records retention schedule

DATES: undated.

ARRANGEMENT: none

DESCRIPTION:

Records used in establishing and implementing records management policies, practices, and procedures. Included are inventories, finding aids, and related information.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office until updated and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 05/2016.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80749

3

TITLE: Records transfer sheets

DATES: undated.

ARRANGEMENT: none

DESCRIPTION:

Records used in establishing and implementing records management policies, practices, and procedures. Included are record transfer sheets.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 6 months after related records are destroyed and then destroy.

APPRAISAL:

These records have administrative value(s).
Based on General Retention Schedule 16 Item 3c.

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 05/2016.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80727

3

TITLE: Registration by qualification for issuers

DATES: 1982-

ARRANGEMENT: Alphabetical by name

ANNUAL ACCUMULATION: 4.00 cubic feet.

DESCRIPTION:

These records document the registration of securities sold in the State of Utah that are not subject to federal registration. Information includes financial audits; shareholders list; division closing letter; release of escrow; closing report; bank's report of escrow; fund impoundment agreement; application by qualification; certificate of registration; interim financial reports; certificate of agent registration; agent application; waiver letter; letter of consent from transfer agent, attorney, certified public accountant and sales agent; consent to service of process; corporate resolution; articles of incorporation; bylaws and organizational minutes; corporate acknowledgment; sample stock certificate; sales agent appointment; subscription agreement; and correspondence.

RETENTION:

Permanent. Retain for 10 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 01/2000

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year after all actions are completed and then transfer to State Records Center. Retain in State Records Center for 9 years and then transfer to State Archives.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80727

TITLE: Registration by qualification for issuers

(continued)

APPRAISAL:

These records have administrative, and/or legal value(s).
Although the statute of limitations under UCA 61-1-21 is five years, the discovery rule, which states that the statute does not run until the violation is discovered, applies here. Therefore, the Division of Securities believes that a permanent retention is needed to cover the legal requirements for this record.

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private. UCA 63G-2-302 (2008)

AGENCY: Department of Commerce. Division of Securities

SERIES: 80732

3

TITLE: Registration hearing files

DATES: 1982-

ARRANGEMENT: Numerical by case number

ANNUAL ACCUMULATION: 2.00 cubic feet.

DESCRIPTION:

These files document hearings in which the division has issued a stop order during the registration process to suspend or revoke any security registration statement. The Division of Securities may take this action if the Securities Advisory Board judges it to be in the public interest, there is evidence of code violation, the security is the subject of an administrative stop order, or the applicant fails to pay the proper filing fee. (UCA 61-1-12 (1993)). Information includes subpoena, memoranda in support of revocation of registration statement, supplemental memoranda, response memoranda in opposition from notice of continuance, order suspending effectiveness of registration, certificate of mailing, findings of fact, conclusions of law, and recommended order.

RETENTION:

Retain for 6 year(s) after case is closed

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 11/1993

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year after case is closed and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80732

TITLE: Registration hearing files

(continued)

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Public

AGENCY: Department of Commerce. Division of Securities

SERIES: 80756

3

TITLE: Schedule of registration for agents, Schedule of broker-dealer registration, and issuer's list

DATES: 1977-

ARRANGEMENT: Chronological

DESCRIPTION:

These were lists that the Division compiled for distribution on request to members of the public and businesses. These lists are no longer compiled. This record series includes the broker-dealer's, agent's, or company name; the date of registration; the date of issue; the current status; and the type of issue.

RETENTION:

Retain for 1 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then destroy.

APPRAISAL:

These records have administrative value(s).

This record is now obsolete and has no further administrative value.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80756

TITLE: Schedule of registration for agents, Schedule of broker-dealer registration, and issuer's list

(continued)

PRIMARY DESIGNATION:

Public

Schedule of Registration for Agents, Schedule of Broker/Dealer registration and Issuers List.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80733

3

TITLE: Secondary trading exemptions

DATES: 1980-

ARRANGEMENT: Alphabetical by surname

ANNUAL ACCUMULATION: 6.00 cubic feet.

DESCRIPTION:

These records document secondary trading exemptions, financial information, and certified public accountant reports on the use of proceeds from sales of security transactions exempted from registration requirements as outlined in UCA 61-1-14 (1993). Exemptions granted include securities guaranteed by the United States or Canadian governments, banks, savings institutions, or trust companies organized under the laws of the United States or Utah. In addition, securities issued or guaranteed by any railroad, public utility, or holding company subject to the jurisdiction of the interstate commerce commission are also included.

RETENTION:

Retain for 7 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 08/1996

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years after the company becomes dormant and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

Microfilm master: Retain in Archives for 7 years and then destroy.

Microfilm duplicate: Retain in Archives for 7 years and then destroy.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80733

TITLE: Secondary trading exemptions

(continued)

APPRAISAL:

These records have administrative value(s).

This disposition is based on the administrative needs expressed by the agency.

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private. UCA 63G-2-302 (2008)

AGENCY: Department of Commerce. Division of Securities

SERIES: 80739

3

TITLE: Securities agents record card file

DATES: 1927-

ARRANGEMENT: Alphabetical by name.

DESCRIPTION:

This is a finding aid and index to the files of registered sellers of securities. The information includes the agent's name, address, employer, date application filed, date registered, receipt number, license number, and the date the agent became inactive.

After 1988 this record was kept as a computer data file.

RETENTION:

Retain permanently

DISPOSITION:

May Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office permanently.

APPRAISAL:

These records have administrative value(s).

This retention is set to ensure that a record of each agent will be kept.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Commerce. Division of Securities

SERIES: 14775

1

TITLE: Securities news bulletins

DATES: 1975-2013.

ARRANGEMENT: Alphabetical by subject

DESCRIPTION:

These are news bulletins and related information used for reference purposes. They originate from security regulators such as the Securities and Exchange Commission and from other institutions outside the State of Utah. Information includes press releases, news bulletins, and handouts.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is proposed and has not yet been approved.

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then destroy.

APPRAISAL:

These records have administrative value(s).

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 03/2015.

AGENCY: Department of Commerce. Division of Securities

SERIES: 13979

3

TITLE: Shareholder files

DATES: 1981-2013.

ARRANGEMENT: none

DESCRIPTION:

This series contains confidential reports disclosing ownership and interests in companies. The names and addresses of shareholders, ownership percentages or number of stocks held, and other interests are in these files often in the form of a list. Some files also include power of attorney documentation, client earnings reports, business trust forms, various court documents, notices of securities offerings and circulars, share holders reports, and business prospectuses.

RETENTION:

Retain for 6 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

AUTHORIZED: 12-20-2018

FORMAT MANAGEMENT:

Microfilm master: Retain in Archives for 6 years and then destroy.

Microfilm duplicate: Retain in Archives for 6 years and then destroy.

APPRAISAL:

These records have fiscal, and/or legal value(s).
Per the Securities Exchange Act of 1934 Rule 17AD-7 Records Retention, the longest period of time that securities records need to be kept is six years.

AGENCY: Department of Commerce. Division of Securities

SERIES: 82408

1

TITLE: Stock certificates

DATES: 1919-2013.

ARRANGEMENT: Alphabetical by company name

DESCRIPTION:

These are old stock certificates filed in escrow with the Division of Securities. This series includes pass books, stock certificates, and gold stock certificates.

RETENTION:

Permanent. Retain for 2 year(s)

DISPOSITION:

Transfer to Archives.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is proposed and has not yet been approved.

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, fiscal, historical, and/or legal value(s).

These stock certificates were separated from the stock escrow files and transferred to the Division of Unclaimed Property so that ownership could be established. Property not claimed will be auctioned. Remainder of certificates should be transferred to State Archives for storage.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Commerce. Division of Securities

SERIES: 82407

3

TITLE: Stock escrow documents

DATES: 1919-1985.

ARRANGEMENT: Alphabetical by company name.

DESCRIPTION:

These are documents filed with stock certificates placed in escrow with the Division of Securities pursuant to old rules no longer in effect. This series includes legal agreements and an Acceptance of Terms and Escrow Agreement. The Records Transfer Sheet (26 May 1988) describes the records transferred to the archives as "paperwork that was filed with escrowed stocks sent to Unclaimed Property, 1920-1985." The RTS provides a complete, 16-page listing of company names and numbers included.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 09/1988

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years after corporation has closed or contract expires and then transfer to State Records Center. Retain in State Records Center for 1 year and then transfer to State Archives with authority to weed.

APPRAISAL:

These records have administrative, fiscal, historical, and/or legal value(s). These records have been transferred to the State Archives. Some of these records have historical research value and will allow someone to trace the existence or history of a corporation.

PRIMARY DESIGNATION:

Public

AGENCY: Department of Commerce. Division of Securities

SERIES: 80750

3

TITLE: Time sheets

DATES: undated.

ARRANGEMENT: None.

DESCRIPTION:

These records are time sheets for the employees of the Department of Commerce, Division of Securities.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 2 years and then destroy.

APPRAISAL:

These records have administrative value(s).
Based on General Retention Schedule 2 Item 3.

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 06/2017.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80751

3

TITLE: Travel vouchers

DATES: undated.

ARRANGEMENT: None.

DESCRIPTION:

These records are travel expenses, payments, and reimbursements for employee travel expenditures.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1987

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then destroy.

APPRAISAL:

These records have administrative, and/or fiscal value(s).
Based on General Retention Schedule 9 Item 3b.

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 06/2017.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80735

3

TITLE: Uniform limited offering exemption files

DATES: 1982-

ARRANGEMENT: Alphabetical by company name, thereunder chronological

ANNUAL ACCUMULATION: 3.00 cubic feet.

DESCRIPTION:

These files document private offerings exempted from registration with the Securities and Exchange Commission. These are limited to 35 or fewer investors. Information includes Notice of Sales of Securities Pursuant to Regulation D or Section 4(6), correspondence, final sales report, corporate name and address, employer identification number, and the issuer's business.

RETENTION:

Retain for 4 year(s) after resolution of issue

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 08/1996

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year after the offering is closed and then transfer to State Records Center. Retain in State Records Center for 3 years and then destroy.

APPRAISAL:

These records have administrative value(s).
This disposition is based on the administrative needs expressed by the agency.

AGENCY: Department of Commerce. Division of Securities

SERIES: 80735

TITLE: Uniform limited offering exemption files

(continued)

PRIMARY DESIGNATION:

Public

SECONDARY DESIGNATION(S):

Private. UCA 63G-2-302 (2008)

AGENCY: Department of Commerce. Division of Securities

SERIES: 22622

3

TITLE: Unit investment trust records

DATES: 1993-

ARRANGEMENT: Alphabetical by issuer surname

ANNUAL ACCUMULATION: 1.00 cubic foot.

DESCRIPTION:

These files document Unit Investment Trusts (UIT) registered with the Department of Commerce, Division of Securities. These records are created for the purpose of ensuring compliance with the Uniform Securities Act (UCA 61-1 thru 30 (1999)).

RETENTION:

Retain for 6 year(s)

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 04/2000

FORMAT MANAGEMENT:

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 5 years and then destroy.

APPRAISAL:

These records have administrative, and/or legal value(s).

PRIMARY DESIGNATION:

Public