

Retention and Classification Report

Agency: Department of Commerce. Division of Securities and Real Estate (1115)

160 East 300 South
Salt Lake City, UT 84114

Records Officer: _____

09999	*Accessioned records
00666	*Administrative records
00664	*Annual reports
00671	*Audit reports
00665	*Correspondence
00673	*Real estate brokers indemnity bonds

AGENCY: Department of Commerce. Division of Securities and Real Estate

SERIES: 9999

3

TITLE: Accessioned records

DATES: 1963-1965, 1986.

ARRANGEMENT: none

DESCRIPTION:

These miscellaneous records include samples of the following: certificate of registration, issuer file number cards, form letters, and application forms. Also included are lists of securities agents and a schedule of broker/dealer registrations. Publications include the following titles: "Utah Uniform Securities Act, 1963" (Title 61, Chapter 1), "NASD Training Guide," "The Utah Securities Law and You," and administrative rules (circa 1986).

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).
Disposition is based upon the future research value of the data contained within this series.

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2015.

AGENCY: Department of Commerce. Division of Securities and Real Estate

SERIES: 666

1

TITLE: Administrative records

DATES: 1940- c.1990.

ARRANGEMENT: Alphanumerical.

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 AND DISPOSITION AUTHORIZATION:

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

FORMAT MANAGEMENT:

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

APPRAISAL:

These records have historical value(s).

Records in this series have ongoing research value because they document agency history, functions, and decisions.

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 05/2015.

AGENCY: Department of Commerce. Division of Securities and Real Estate

SERIES: 664

3

TITLE: Annual reports

DATES: 1919-1961.

ARRANGEMENT: Alphanumerical.

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.

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 05/2015.

AGENCY: Department of Commerce. Division of Securities and Real Estate

SERIES: 671

1

TITLE: Audit reports

DATES: 1933-1934.

ARRANGEMENT: Alphanumerical

DESCRIPTION:

Report prepared by internal or external auditors as a result of a financial audit.

RETENTION:

Permanent. Retain for 1 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 State Archives permanently with authority to weed.

APPRAISAL:

These records have administrative, fiscal, and/or historical value(s). Audit reports may be used during the next audit cycle to monitor compliance with internal control program recommendations. They document agency functions and have research value.

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2015.

AGENCY: Department of Commerce. Division of Securities and Real Estate

SERIES: 665

4

TITLE: Correspondence

DATES: 1946-1965.

ARRANGEMENT: Alphanumerical.

DESCRIPTION:

Business-related correspondence which provide unique information about agency functions, policies, procedures, or programs. These records document material discussions and decisions made regarding all agency interests, and may originate on paper, electronic mail, or other media. This correspondence is filed separately from program case files, and project files.

RETENTION AND DISPOSITION AUTHORIZATION:

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

FORMAT MANAGEMENT:

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

APPRAISAL:

These records have historical value(s).

Documents in this series document agency history, functions, and decisions. These records have ongoing research value.

PRIMARY DESIGNATION:

Public

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 07/2015.

AGENCY: Department of Commerce. Division of Securities and Real Estate

SERIES: 673

1

TITLE: Real estate brokers indemnity bonds

DATES: 1945-1960.

ARRANGEMENT: Alphanumerical

DESCRIPTION:

Issuing agent's copies of bond registration stubs.

RETENTION AND DISPOSITION AUTHORIZATION:

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

FORMAT MANAGEMENT:

Paper: Retain in State Records Center for 2 years and then destroy.

APPRAISAL:

These records have administrative value(s).

Records in this series have only temporary administrative value and may be destroyed according to the approved retention schedule.

PRIMARY DESIGNATION:

Private UCA 63G-2-302

REVIEW AND UPDATE STATUS:

This report was reviewed and updated on 02/2015.