



# Office of the Secretary of State

## Records Retention Schedule

Prepared by the State Records Branch  
Archives and Records Management Division

Approved by the State Libraries, Archives, and Records Commission



Kentucky Department for Libraries and Archives

This records retention schedule governs retention and disposal of records created, used, and maintained by this agency. **Government records in Kentucky can only be disposed of with the approval of the State Libraries, Archives, and Records Commission (the Commission). If records do not appear on a Commission-approved records retention schedule, agencies should not destroy those records.** This agency-specific schedule was drafted by agency personnel and Archives and Records Management Division staff and reviewed and approved by the Commission. This schedule provides the legal authority for this agency to destroy the records listed, after the appropriate retention periods have passed.

Agency personnel should use this agency-specific schedule in combination with the *General Schedule for State Agencies (General Schedule)*, also approved by the Commission. The *General Schedule* applies to records that are created, used, and maintained by staff at all or most state agencies. Agency-specific retention schedules are used only by specific agencies and apply to records that are created only by a particular state agency, or to records that a state agency is required to retain longer than the approved time period on the *General Schedule*. The *General Schedule* and agency-specific retention schedule should cover all records for this agency.

This retention schedule applies to state agency records and information regardless of how it is created or stored. For example, information created and sent using e-mail is as much a public record as materials created or maintained in paper. Kentucky law defines public records, in part, as "documentary materials, *regardless of physical form or characteristics*, which are prepared, owned, used, in the possession of or retained by a public agency" (KRS 171.410[1]). This means that records management standards and principles apply to all forms of recorded information, from creation to final disposition, regardless of the medium. Records retention scheduling is important in developing, using, and managing computer systems and other electronic devices. Records management practices encourage cost-effective use of electronic media through accurate retention scheduling and legal destruction of records.

**All state government employees are responsible for maintaining records according to the retention schedule, whether those records are stored electronically or in paper. Information must be accessible to the appropriate parties until all legal, fiscal, and administrative retention periods are met, regardless of the records storage medium.**

### **Audits and Legal Action**

Agency records may be subject to fiscal, compliance or procedural audit. If an agency should maintain records longer than the approved retention period, as may be the case with some federal audits, then all affected records should be retained until the audit has been completed and the retention period met. In no case should records that are subject to audit be destroyed until the audit has been completed and retention periods met, or the records have been officially exempt from any audit requirements.

Records may also be involved in legal or investigative actions, such as lawsuits, administrative hearings, or open records matters. These records must be retained at least until all legal or investigative matters have concluded, regardless of retention period. This includes all appeals of lawsuits.

### **Vital Records**

Vital records are essential to the continued functioning of an agency during and after an emergency. Vital records are also essential to the protection of the rights and interests of an

agency and of the individuals for whose rights and interests it has a responsibility. Vital records are identified in the retention schedule with a (V).

### **Confidential Records**

While all records created, used, and maintained by government agency personnel are public records, not all of those records are open to public inspection. Whether a record is open to public inspection is determined by the state's Open Records laws and other relevant state or federal statutes and regulations. Restriction of public inspection of confidential records may apply to the whole record or only to certain information contained in the record.

Kentucky's public records are considered open for public inspection unless there is some specific law or regulation that exempts them. Agency personnel who believe certain records are confidential should submit a citation from Kentucky Revised Statutes, Administrative Regulations, Code of Federal Regulations, or similar authority. **State agency heads have the responsibility to know all the appropriate confidentiality laws, statutes and regulations that apply to the records maintained by their agency and to see that those laws are enforced.** Even though a record series may or may not be marked confidential on a retention schedule, contradictory laws or regulations that are passed after the schedule has been approved must be honored.

### **Copies of Records**

Agency personnel often make copies of records for internal use or reference purposes. Agencies should designate one copy as the official copy and make sure it is retained according to the records retention schedule. Agencies can destroy all other copies when no longer useful.

### **Updating the Retention Schedule**

Per 725 KAR 1:010, the head of each state government agency is required to designate a member of his or her staff to serve as a records officer. The agency records officer represents that agency in its records-related work with the Archives and Records Management Division. The agency records officer is responsible for assisting the Archives and Records Management Division in drafting a records retention schedule, and in finding any schedule updates to bring before the Commission. The retention schedule should be reviewed on a regular basis to suggest appropriate changes to the Commission.

## **Secretary of State**

The Secretary of State was created by the Kentucky Constitution in 1792. On September 28, 1891, the Office of Secretary of State changed from an officeholder appointed by the Governor to an elected official.

The Secretary of State directs the Department of State of the Commonwealth of Kentucky pursuant to provisions KRS Chapter 14. Duties include attesting the official acts of the Governor.

The Office is organized into two divisions: Division of Corporations and Division of Administration. The Division of Administration is responsible for fiscal and personnel matters, public documents, legal affairs and special projects and commissions. The Division of Corporations shall be responsible for all functions relating to corporations.

RECORDS RETENTION SCHEDULE

Signature Page

Secretary of State
Agency

June 10, 2010
Schedule Date

Unit

December 12, 2013
Change Date

December 12, 2013
Date Approved By Commission

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APPROVALS

The undersigned approve of the following Records Retention Schedule or Change:

Alison Lundergan Crimus
Agency Head

10/30/13
Date of Approval

[Signature]
Agency Records Officer

10/30/13
Date of Approval

Barbara Taylor
State Archivist and Records Administrator
Director, Public Records Division

12/5/13
Date of Approval

Wayne Oubert
Chairman, State Archives and Records Commission

12/12/13
Date of Approval

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The undersigned Public Records Division staff have examined the record items and recommend the disposition as shown:

Pam Compton
Records Analyst/Regional Administrator

12-04-2013
Date of Approval

[Signature]
Appraisal Archivist

12/4/2013
Date of Approval

[Signature]
State/Local Records Branch Manager

12/4/13
Date of Approval

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The determination as set forth meets with my approval.

[Signature]
Auditor of Public Accounts

12-12-13
Date of Approval

STATE ARCHIVES AND RECORDS COMMISSION  
Archives and Records Management Division  
Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS  
RETENTION SCHEDULE

Secretary of State

Record Group  
Number  
2600

Series	Records Title and Description	Function and Use
06476	Secretary of State's Website	This series is a snapshot of the Office of the Secretary of State's website. The website functions as a central communication, outreach, and documentation tool for the Office. The website provides online public access to information about the Office's activities and allows the public to contact the Office by email, use online forms to apply for and submit material, and search records held by the Office. It makes multiple records available in a central location. Some of these records may be listed on the Office's records retention schedule, or the General Schedule for State Agencies, and may be transferred to the State Archives in different formats than those found online the website. The website may contain the original version of these records series or duplicate copies.
	Access Restrictions	The website also connects to the social media sites of the Office, allowing wider public notification of its activities.
	Contents	None
	Retention and Disposition	Series may contain: Secretary's biography; organizational information and structure of the Secretary of State's office; speeches; press releases; photos; and audio and video recordings. The website also contains a variety of files and scripts that allow for the website to function. These are covered by the series: Website Format and Control Records (E0058)
		Through arrangement with the Office of Secretary of State, KDLA will take periodic snapshots of the website at various times during the term of each Secretary of State, including the beginning and ending of each four-year term and any significant changes made to the overall website. Snapshots will be retained permanently.

**STATE ARCHIVES AND RECORDS COMMISSION**  
**Archives and Records Management Division**  
**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS**  
**RETENTION SCHEDULE**

Secretary of State  
 Administrative Services

**Record Group**  
**Number**  
**2600A**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>03110</b>	<b>Summons File (V)</b>	This series documents the appointment of the Secretary of State to act as the agent for the acceptance of service of process in any civil action for any employing unit which is not a resident of Kentucky, and which exercises the privilege of having one or more individuals perform services in the state, and any resident employing unit which subsequently moves from the state, as required in KRS 341.305. When actions are instituted, all processes or notices (summons) are filed with the Secretary of State and have the same force and validity as if served within the state. To validate the action, the Secretary must send notice of the service of such process by certified mail to the employing unit. The return receipt and a copy of the notice of service is then appended to the original of the process filed in the court in which the action is pending. This series combines the Summons and Complaint on Cases Brought by Kentucky Division of Unemployment Insurance (SN 03112) and Notice of Preliminary Hearing-Natural Resources and Environmental Protection Cabinet (SN 03113). KRS 454.210 is the primary statute supporting the need for this process, which is also referred to as the "long arm of the law." *The agency handles nearly 17,000 per year.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Case number; summons - defendant's name; date put in mail; date received; certified mail receipt; notice of service; date mailed back to the respective court.
	<b>Retention and Disposition</b>	Retain in Agency and destroy six(6) months from date of Memorandum Return to Court or No Response Letter
<b>03111</b>	<b>Hague Convention Summons File (V)</b>	This series documents the appointment of the Secretary of State to act as agent for the acceptance of service of process in civil actions against nonresident employing units that are filed through the federal government to international countries that are participants in the Hague Agreement. These actions are supported under the terms of federal law, specifically the Hague Service Convention-28 U.S.C.A., Rule 4(i), Federal Rules of Civil Procedure. This series functions much the same way as series 03110, Summons File, for actions occurring in the United States.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Summons (both English and foreign language translation); complaint and/or accompanying documents (both languages); request for service abroad (Federal Form OBD-116); completed certificate from receiving authority (if any); copy of registered mail return receipt card or undelivered letter (if any); return to court letter
	<b>Retention and Disposition</b>	Retain in Agency and destroy one (1) year from date of Memorandum Return to Court or No Response Letter
<b>04554</b>	<b>\$50,000,000 Commonwealth of Kentucky General Obligation Highway Bonds - (Dated July 1, 1961) - (One notebook, transcript of proceedings)</b>	Closed Series: This series appears to document the issuance of state highway bonds. Since it cannot be located, little more is known about it. Current office staff are not familiar with the creation of this record.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Unknown
	<b>Retention and Disposition</b>	Transfer to the State Archives Center

**STATE ARCHIVES AND RECORDS COMMISSION**  
**Archives and Records Management Division**  
**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS**  
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Secretary of State  
 Administrative Services

**Record Group**  
**Number**  
**2600G**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>04555</b>	<b>Kentucky National Emergency Special Police Book Index - (1943-1945)</b>	Closed Series: This series indexes the special police certification file. Special law enforcement officers' duties extend to the protection of specific public properties, such as the state Capitol building and grounds, public schools, public airports, etc. The commissioning of special police is now the responsibility of the Justice Cabinet.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Index
	<b>Retention and Disposition</b>	Transfer to the State Archives Center
<b>04556</b>	<b>Agency Receipt Books - (1909-1953)</b>	Closed Series: This series documented the recording of agency financial transactions.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	See archival listing - Public Records Central File
	<b>Retention and Disposition</b>	Transfer to the State Archives Center
<b>04557</b>	<b>Oath of Office Certification File</b>	This series documents the certification that oaths of office have been administered. The certification statement is completed by the individual administering the oath and is then filed with the Secretary of State, as required in Senate Bill 86, which was passed into law during the 1996 Regular Session of the General Assembly. Certifications of administered oaths are applicable to: members of the General Assembly; an officer elected from the state-at-large; an officer elected from a district greater than one county or a city whose boundaries extend beyond one county; an officer appointed as cabinet secretary; an officer appointed as a deputy/assistant to an elected constitutional officer; Secretary of State and his assistant; county clerks; and countywide elected officials. Previously, the series was applicable to the swearing in of members of boards and commissions. *Early in the history of the Office, notarized statements attesting to the swearing in of key officials were filed with the Secretary of State. Some statements may exist from the early period, however, the specific amount is not known.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Statements of certifications of oaths of office
	<b>Retention and Disposition</b>	Retain in Agency four (4) years after the end of the gubernatorial term; transfer to State Archives Center for permanent retention.



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 Kentucky Department for Libraries and Archives

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 2600A

Series	Records Title and Description	Function and Use
04558	<b>Certification of Election Filings and Election Totals File - (Includes candidate filing papers, certification of candidates, and vote total information) (V)</b>	This series documents the intention of a candidate to run for a political office. Additionally, it documents the election totals as certified to the Secretary of State by the county clerks, and their county board members, for each of the offices on the ballots in their respective counties. As to candidate filings, KRS 118.195, .205, and .385 define the procedures for preparing candidate filing papers by all those seeking election to state and federal offices. Fees are paid according to the office being sought. The series also identifies candidates who file to run for an office then subsequently withdraw, or do not accept the office if elected. As to election totals, in all cases of state or county elections, and in the case of public questions submitted to the vote of the people, the county board of elections makes out duplicate certificates of the total number of votes received by each of the candidates for the office and the total number of votes for and against each of the questions. A copy of each certificate is retained by the county clerk and the remaining one is forwarded by the clerk to the Secretary of State, for delivery to the State Board of Elections. *Candidate filing papers appear not to exist prior to 1988; however, Registers of candidates who have filed for office should be on file with the State Board of Elections.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Candidate filing papers (by order of the office as listed on the ballot); certification of candidate names (one publication for the primary and one for the general election); certification and official count and record of election totals; official primary and general election returns (one publication containing vote total information for primary and general); candidate list; register of candidates, broken down by party affiliation
	<b>Retention and Disposition</b>	Retain in Agency no longer than nine (9) years, then transfer to the State Archives Center for permanent retention.
04559	<b>Executive Orders Commissioning Kentucky Colonels</b>	This series documents the execution of the order by the Governor or the Secretary of State to provide a citizen with a Kentucky Colonel certificate, an honorary title conferred in recognition of a deed or service that merits recognition. The title of Kentucky Colonel originated in the state's early days, when the citizenry maintained a volunteer militia. Colonels were uniformed members of a governor's staff. Today it serves as a public relations tool to promote the Commonwealth. Generally, most petitions for a certificate are granted. The Secretary of State's Office processes the Executive Order, keeps the original, mails a copy to the Order of Kentucky Colonels, located in Louisville, and sends one copy to the Office of the Governor. The certificate is mailed to the applicant. This series is not filed in the Executive Journal (04564). (Legislators request certificates through the Secretary of State's Office as well.)
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Executive Order and number; name of Individual; date of appointment; signature of the governor, secretary of state; address of candidate
	<b>Retention and Disposition</b>	Retain in Agency four years (4) after the end of the gubernatorial term; transfer to State Archives Center for permanent retention.
04560	<b>Governor's Executive Order File - Miscellaneous - (Includes employment contracts, court orders, non-merit appointments, paroles, re-organizations, special notaries) (V)</b>	This series documents the written action or order of the Governor, which has the force of law, and which is based upon his authority as the chief executive of the Commonwealth. The state's Constitution requires that the Secretary of State receive the original order signed by the Governor. After signature by the Secretary of State, the state seal is then affixed. This series incorporates orders categorized as miscellaneous. These include Writs of Habeas Ad Testificandum/Ad Prosequendam, court orders, employment contracts, non-merit position appointments, conditional releases, paroles, special commission notaries, re-organization of executive branch offices, activation of the National Guard, resignations, and removals from office. The orders are initially created by the General Counsel, Office of the Governor. Much of the reference activity to Executive Orders is by courts requiring certification of the official acts of the state. This series reflects original signatures not included in the Executive Journal (04564).
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Original order; supporting documentation
	<b>Retention and Disposition</b>	Retain in Agency four (4) years after the end of the gubernatorial term; transfer to State Archives Center for permanent retention

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**Archives and Records Management Division**  
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Secretary of State  
 Administrative Services

**Record Group**  
**Number**  
**2600G**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>04561</b>	<b>Executive Orders - Governor's Leave of Absence from State - (Executive Orders) (V)</b>	Closed Series: This series documented the written action or order of the Governor to document his absence from the state for a specified period of time and who had authority to act in his stead. The state's Constitution requires that the Secretary of State receive the original order signed by the Governor. After signature by the Secretary of State, the state seal is affixed to validate the action.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Original order and supporting documentation
	<b>Retention and Disposition</b>	Transfer to the State Archives Center
<b>04562</b>	<b>Governor's Executive Order File - (Includes extraditions, requisitions, proclamations, appointments) (V)</b>	This series documents the written action or order of the Governor, which has the force of law, and which is based on his authority as chief executive of the Commonwealth. The state's Constitution requires that the Secretary of State receive the original order signed by the Governor. After signature by the Secretary of State, the state seal is then affixed. This series incorporates the following orders: extraditions, requests for a fugitive held within the boundaries of Kentucky to be returned to another state for prosecution; requisitions, requests the return of a fugitive to Kentucky for prosecution; proclamations, recognition of achievements; and appointments, to serve on boards and commissions. This series reflects original signatures not included in the Executive Journal (04564).
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Original order; supporting documentation
	<b>Retention and Disposition</b>	Retain in Agency four (4) years after the end of the gubernatorial term; transfer to State Archives Center for permanent retention.
<b>04563</b>	<b>Governor's Executive Order File - (Includes commutation of sentences, restorations of civil rights, and pardons) (V)</b>	This series documents the written action or order of the Governor, which has the force of law, and which is based on his authority as the chief executive of the Commonwealth. The state's Constitution requires that the Secretary of State receive the original order signed by the Governor. After signature by the Secretary of State, the state seal is then affixed. This series incorporates the following orders: commutation of sentences; restorations of civil rights; and pardons. This series reflects original signatures not included in the Executive Journal (04564).
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Original order; supporting documentation
	<b>Retention and Disposition</b>	Retain in Agency four (4) years after the end of the gubernatorial term; transfer to State Archives Center for permanent retention.

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Secretary of State  
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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>04564</b>	<b>Executive Journal and Indexes - (Provides a compilation of the official actions of the Governor) (V)</b>	This series documents all Executive Orders, excluding those commissioning Kentucky Colonels, executed by the Governor's Office and provides a summary of their purpose or function. It provides a compilation of the Governor's official actions, including veto statements received after the adjournment of the General Assembly. The series lacks the signatures of the Governor and the Secretary of State, and no seal is affixed. It is used as a reference tool to locate original Orders. Indexes are included in the series. *1927-1979 identifies the orders by date only. Others reflect a year/sequential number for the administrative term.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Date; executive order number; executive order summary
	<b>Retention and Disposition</b>	Retain permanently in agency
<b>04565</b>	<b>Enrolled Bills of the Legislature - (Pink and Green copies) (V)</b>	This series documents legislation passed by the General Assembly and retained by the Secretary of State (the official filing agent), as required by the Kentucky Constitution. It represents the official record of legislation as passed, complete with all required signatures. Veto information is not filed in the series, unless the veto is overridden. The volumes contain both green and pink copies. The green copy is legislation passed into law with amendments by the Kentucky House of Representatives or Senate and which has been signed by the Governor. The pink copy is of legislation that passed in both Houses, unamended, and which may or may not have been signed by the Governor. The volumes include legislation passed in either a regular or special session of the General Assembly. In this capacity, the Secretary of State acts as a servant of the Legislative Branch, as well as the Executive Branch.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Original legislation bearing signature of the Governor, in most cases, and the Chief Clerk of the Senate, the Speaker of the House, and if applicable, the date signed by the Governor. It also contains the date, time and signature of the individual logging in the legislation
	<b>Retention and Disposition</b>	Retain in Agency eight (8) years; transfer to the State Archives Center for permanent retention.
<b>04588</b>	<b>Declarations of Trust File and Index</b>	Closed Series: This series cannot be located. Current staff are not familiar with its creation.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Unknown
	<b>Retention and Disposition</b>	Transfer to the State Archives Center
<b>04589</b>	<b>General Indexes to Leases - State Property</b>	Closed Series: This series cannot be located. However, from its title it would appear to index state leases (04590), filed with the Secretary of State's Office.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Unknown
	<b>Retention and Disposition</b>	Transfer to the State Archives Center

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Secretary of State  
 Administrative Services

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**Number**  
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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>04590</b>	<b>Lease Book - (1930)</b>	Closed Series: This series cannot be located. However, from its title it would appear to document state agency leases filed with the Secretary of State's Office.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Unknown
	<b>Retention and Disposition</b>	Transfer to the State Archives Center
<b>04591</b>	<b>Register of Acts and Index - (1876; 1877-78; 1891-92; 1950)</b>	Closed Series: This series documents the acts passed by the General Assembly.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Sereis contains: Register, plus index, listing all acts passed by the General Assembly
	<b>Retention and Disposition</b>	Transfer to the State Archives Center
<b>04596</b>	<b>Distilled Spirits Reports - (1893 - 1899)</b>	Closed Series: This series documented reports of distilled spirits. The reports are in book form and are located in the State Archives Center.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	See archives holdings - Public Records Central File
	<b>Retention and Disposition</b>	Transfer to the State Archives Center

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**Archives and Records Management Division**  
**Kentucky Department for Libraries and Archives**

**STATE AGENCY RECORDS**  
**RETENTION SCHEDULE**

Secretary of State  
 Administrative Services  
 Notary Public

**Record Group**  
**Number**  
**2600N**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>03124</b>	<b>Notary Public Special File - (Duplicate) - (Record copy found in the Executive Journal - series 04564)</b>	This series documents the appointment and commissioning of individuals by the Governor to serve as Special Commission Notaries Public. The office of Kentucky Notary Public, Special Commission was created under the terms of KRS 423.110 (6), which was enacted in 1976 and amended in 1982. Those holding this office are authorized to perform notarial acts in or outside Kentucky, for recording in Kentucky. Notaries receiving appointment to this office may perform the following: administering of oaths and affirmations; taking proof of execution and acknowledgements of instruments; and attesting documents. Individuals wishing to serve as a Special Commission Notary Public must make application to the Governor. The application is forwarded to the Secretary of State's Office for filing. Final approval of the application is made by the Governor's Office. The individual is issued a Commission to the Office, which constitutes the appointment by the Governor. Unlike a Notary Public, the office of Notary Public Special Commission requires no bond to be posted with the county clerk, and no forms or information are sent by the Secretary of State or the Governor to the county clerk. Applications for this office are renewed every four years.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Application for appointment to the Office of Notary Public Special Commission; certification; oath of office; commission to office; correspondence with the receipt of the check; approval by the governor
	<b>Retention and Disposition</b>	Retain in Agency four (4) years; destroy after audit
<b>03393</b>	<b>Notary Public Commission File</b>	This series documents the application filed with the Secretary of State for the office of notary public. Under the terms of KRS 423, an individual applies for the office of notary public by submitting an application to the Secretary of State. (An out-of-state resident would apply through the county clerk's office most convenient to him.) The applicant then posts bond with the county clerk in his county of residence, at which time a commission for the office of Notary Public is issued. The applicant must be at least 18 years of age, a resident of the county from which he makes his application, of good moral character, and capable of discharging the duties imposed. The Secretary of State designates the limits within which the notary is to act. A Notary Public performs notarial acts within the state of Kentucky, but the documents which he notarizes may be recorded in other states and countries. Applications for a notary are renewed every four years. The appointment of notaries who perform duties in-state has been the responsibility of the Secretary of State for many years. Previously, such appointments were made by the Governor. NOTE: This series is equal in importance to special notaries, series 03124, who are appointed by the Governor. Special notaries perform duties outside of the state and the record of their appointments is retained permanently.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Application (name and address, social security number, county); name of certifying county official; place of employment; whether the applicant is authorized to perform notarial acts for the state at large or for a particular county; signature, copy of certificate
	<b>Retention and Disposition</b>	Retain permanently in agency

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Secretary of State  
 Business Services  
 Corporate Filings

**Record Group**  
**Number**  
**2600N**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>03394</b>	<b>Trademark/Service Mark Application File</b>	This series documents the application that is filed with the Secretary of State to register a trademark or service mark in Kentucky. A trademark is any word, name, symbol, union label, distinctively designed or shaped bottle, tin, keg, package or container of any kind or device or any combination thereof adopted and used by a person to identify goods made or sold by him and to distinguish them from goods made or sold by others. A service mark is a mark used in the sale or advertising of services to identify the services of one person and distinguish them from the services of others. The registration is effective for five years, under the terms of KRS 365.585. The registration can be renewed for another term of five years if renewed six months prior to the expiration of the registration. A new application is required if the previous one expired. There is no grace period provided once a trademark registration term has lapsed.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Certificate, including certificate number; name and address of applicant; word mark and description, class into which mark falls; date of registration application and specimens of use.
	<b>Retention and Disposition</b>	Retain in Agency and destroy three (3) years after date of expiration, and audit
<b>03396</b>	<b>Uniform Commercial Code Financing Statement File - (Nonresident filings - liens against property)</b>	This series documents the financing statements that are filed with the Secretary of State to secure a loan transaction from a non-resident debtor. When resident collateral is used to secure a loan transaction from a debtor outside the state of Kentucky, a Uniform Commercial Code Financing Statement may be required to be filed. A financing statement is signed by the debtor and filed for public record to secure the agreement. It reflects the name(s) of the debtor (individual, corporation or partnership) and the secured party and contains a description of the items of collateral. A financing statement from within the state is filed with the respective county clerk. A financing statement is effective for five years from the date of filing, unless a continuation statement is filed six months prior to the lapse. An amendment, assignment, or partial release is filed with the original financing statement, but does not extend the period of effectiveness. A statement can be terminated at any time.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Date; time; filing number; name of debtor; name of secured party; amendments, assignments, continuations, terminations may be filed with the financing statements; partial release
	<b>Retention and Disposition</b>	Retain in Agency and destroy one (1) year after lapse or termination
<b>03397</b>	<b>Uniform Commercial Code Filings Index</b>	This series documents the financing statements of the Uniform Commercial Code (UCC) filed with the Secretary of State. The index reflects the name of debtor, name of secured party, date of filing, and the file number assigned to each financing statement. Changes are made to the index as changes are made to the statements. *Access is low for those that have been retained longer than a year, less than five times/year.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Name of debtor; date; time; file number; name of secured party
	<b>Retention and Disposition</b>	Retain in Agency and destroy after last related UCC file is destroyed

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Secretary of State  
 Business Services  
 Corporations

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**Number**  
**2600C**

<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>04581</b>	<b>Indexes to Corporation Files (V)</b>	Closed Series: This series served as the finding aid to files of dissolved or inactive corporation files. It indexed both foreign and domestic files. The ability to locate domestic administratively dissolved and revoked corporations is extremely important because they can be reinstated upon payment of appropriate filing fees. Foreign corporations cannot be re-instated. The series identified all that would be required for an inactive business to be activated. In 1984, the Office began creation of an electronic index (series 04585).
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Name of corporation; date of dissolution or inactivation; years of good standing; payment of annual report
	<b>Retention and Disposition</b>	Retain permanently in agency
<b>04582</b>	<b>Corporation Card File - (Provides access to records dating from the 1800s to 1967) (V)</b>	Closed Series: This series provides an index or finding aid for records housed in the State Archives Center and the State Records Center for Corporation Files (04583) that have been dissolved or inactivated. The series dates through 1967. Information after 1967 is in the Business Information System (BIS) (04585).
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Charter date/files; name, address of business; capital amount; fee paid; book, box, page, bundle - location
	<b>Retention and Disposition</b>	Retain permanently in agency
<b>04583</b>	<b>Corporation File - (Includes domestic and foreign companies) (V)</b>	This series documents the filings of business entities or corporations that exist(ed) and operate(d) in Kentucky, as required by the Secretary of State's Office and pursuant to the Kentucky Business Corporation Act, KRS 271B.200. The statutes identify which documents are to be filed, when they are to be filed, and the filing schedule/filing fees of each. The statutes define the requirements for domestic and foreign corporations, profit, non-profit, liability limited companies, limited partnerships (foreign or domestic), registered limited liability partnerships, and those with assumed names. Documents of incorporation, merger, dissolution, name changes, and certain stock matters are among the diverse corporate papers filed in the office. The filing of or the refusal to file timely appropriate documents affects the validity or invalidity of the business and the correctness or incorrectness of the information contained in the documents. Unless a domestic corporation voluntarily dissolves, it may be reinstated upon payment of all back fees. The Annual Report, which is included in the series, verifies information about the corporate name.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Domestic companies-articles of incorporation; foreign-application for Certificate of Authority; limited partnerships-certificate of limited partnership; limited liability (domestic)-articles of organization; limited liability company (foreign)-Certificate of Authority; each have specific certifications/articles with amendments, documentation of mergers, annual reports, documentation of fee payment (or lack of), registered limited liability partnerships, and related correspondence
	<b>Retention and Disposition</b>	Retain permanently in agency

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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>04585</b>	<b>Business/Corporation Information - (Electronic) - (Serves as an index to Corporation files) (V)</b>  <b>Access Restrictions</b>  <b>Contents</b>	This series provides a means of tracking corporate activity such as mergers, dissolutions, payment of fees, and status of filing. It also serves as an index to those records, from 1798 forward, that have been microfilmed.  None  Series contains: Identification number; registered agent/office, address; principal office address; date of incorporation or authority; status of standing; incorporators/date; state of incorporation; type of business (foreign, domestic, limited partnership, etc.); name reservations and registrations.
	<b>Retention and Disposition</b>	Retain permanently in agency
<b>04586</b>	<b>Clerk's Signature for Certification File - (To certify notarized documents) (V)</b>  <b>Access Restrictions</b>  <b>Contents</b>	This series documents the actual signatures of the 120 county clerks and their deputies. It also documents the signature of the Registrar of Vital Statistics. In many instances, notarized documents must have the notary's signature certified by the county clerk or his deputy. This series is used to authenticate the signature of the clerk or deputy, as it appears on notarized documents. Such certifications also are required by the U. S. State Department for all documents sent to countries participating in the Hague Convention (see series 04587). Signatures are verified by the Notary Public Division for all notary applications.  None  Series contains: Secretary of State's letter of request for official signature and the response. Clerks and deputies affix their signature, typed name and county name
	<b>Retention and Disposition</b>	Retain in Agency and destroy at end of term, if not re-elected
<b>04587</b>	<b>Apostille and Authentication File - (Contains copies of certificates attached to documents intended for use in foreign countries) (V)</b>  <b>Access Restrictions</b>  <b>Contents</b>	This series consists of copies of certificates by the Secretary of State attached to documents intended for use in foreign countries. The Secretary of State authenticates documents such as birth, death and marriage certificates, transcripts, diplomas and adoption papers. An apostille is the certification used for those countries that have adopted the terms of the Hague Convention. An authentication is a certificate used for countries that have not adopted the terms of the Hague Convention. Approximately 600 requests for authentication of documents is received per year.  None  Series contains: Copy of apostille form; copy of certification of county clerk or registrar signature
	<b>Retention and Disposition</b>	Retain in Agency and destroy six (6) months after the end of term of the Secretary of State



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<b>Series</b>	<b>Records Title and Description</b>	<b>Function and Use</b>
<b>04566</b>	<b>Revenue Bond File</b>	This series documents the revenue bonds for public projects, as defined in KRS 58.010-.020. Public projects include projects intended for use as public property for public purposes or suitable for and intended for use in the promotion of the public health, welfare or conservation of natural resources. These bonds also include projects intended for medical facilities; additions or improvements to a structure or facility, such as a parking garage; for the increasing need for public recreation or a cultural facility, such as a theater or museum; revitalization or renewal of a business district or shopping community; or, other governmental agency including the federal government. The head of the department or agency is to file with the Secretary of State a written order, approved by the Governor, the Attorney General, and the secretary of the Finance and Administration Cabinet, setting forth the proposed public project, the amount of the bonds to be issued, and the maximum rate of interest. When the bond is paid, or the lender changes, notification is filed, with the Secretary of State. Examples include financing agreements, security agreements and assignments between the Kentucky Infrastructure Authority and the Finance and Administration Cabinet, Kentucky Housing Corporation revenue bonds, subleases between county and city governments, highway bonds, and county project revenue bonds. This series may exist in book form as well.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Letter from the respective agency approving the purchase and issuance of the bond, and subsequent leases, if any, between state agencies; amount; purpose; sources/use; copy of the bond may be attached; transfer of purchase by bank
	<b>Retention and Disposition</b>	Retain in Agency twenty (20) years; transfer to the State Archives Center for permanent retention.
<b>04567</b>	<b>Establishment of Hospital District File</b>	This series documents the establishment of a hospital taxing district, thus giving the district the authorization to collect taxes for the support or construction of a hospital or hospital addition. The hospital district is created according to the procedures of KRS 65.182 and KRS 216.317-320. Upon completion of all procedures for creating a taxing district, the fiscal court notifies the secretary (of the court), who then establishes the district within the medical service area in that county. The establishment of the district is certified with the county judge/executive and county clerk, the state local finance officer and the Secretary of State.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Letter of filing, statement filed with county clerk and county judge/executive for the establishment of the district
	<b>Retention and Disposition</b>	Retain permanently in agency
<b>04568</b>	<b>Special Filings File</b>	This series documents the copy of required filings to the Secretary of State's Office, as required in KRS Chapter 62, KRS Chapter 66, and Section 91 of the Constitution. The required filings are of regulations, policies, or "assurances" (as filed by the Department for Local Government). Assurances must comply with the policies and requirements as related to the application, acceptance, and use of Federal funds for federally-assisted projects such as civil rights, Federal Fair Labor Standards Act, and the Office of Housing and Urban Development (HUD). The Secretary of State attests the commissioner's signature on behalf of the Commonwealth.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Correspondence and filing documents
	<b>Retention and Disposition</b>	Retain permanently in agency

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Series	Records Title and Description	Function and Use
04569	<b>Deed File for State-Owned Property and Index (V)</b>	This series documents the purchase of property by the state for ownership. It does not include easements or other highway acquisitions, which are the responsibility of the Transportation Cabinet. A deed is a legal instrument containing the transfer or contract for the purchase of land or property. Under the terms of KRS 56.020 and .060, the Secretary of State is required to have custody of all records, judgments, deeds, maps and abstracts of title of land or buildings owned for government purposes. Index is included in the series.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Title report, quit claim deed of conveyance; witness; certificate of acknowledgement; plat
	<b>Retention and Disposition</b>	Retain permanently in agency
04570	<b>Interlocal and Interstate Compact Agreement File</b>	This series documents the agreement between a federal, state, and/or local entity when one agency is providing a service for another. Pursuant to KRS 65.290, before any agreement becomes operative or has force and effect, a certified copy is filed with the county clerk of the county which is party to the agreement, and with the Secretary of State. In the event that an agreement is entered into between or among one or more public agencies of this state and one or more public agencies of another state, it must have the status of an interstate compact. Some examples of agreements include those for police or ambulance services, child support enforcement, or the certification of teachers.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Contract or agreement; correspondence
	<b>Retention and Disposition</b>	Retain in Agency and destroy ten 910) years after satisfaction of the terms of the agreement
04571	<b>Public Official/Employee Blanket Bond File and Index (V)</b>	This series documents the bonds or insurance coverages which must be filed with the Secretary of State, as required in KRS 62.160 and .170. The insurance and bonds cover perils within an agency not included in the State Fire and Tornado Insurance Fund. The insurance is a commercial policy which provides additional liability coverage for agency heads, officers, employees or deputies of the Commonwealth, including all judges, clerks, and employees of the Court of Justice, members of boards or commissions, the Justice Cabinet and related institutions, Cabinet for Families and Children, Cabinet for Health Services, or any other department or agency of the Commonwealth. Liability coverage protects the agency from outside parties that elect to sue an agency. Types of coverage include professional liability, business (interruption) income, auto, and crime (against employee dishonesty, destruction, disappearance, or theft). Bonds are required by office holders for their term to protect the agency against losses brought about by the misconduct or mishandling of affairs of the officer for whom the bond is executed. KRS 61.160 identifies the minimum sum of bonds of state officers, as determined by the governor (excluding the Governor and Lt. Governor). *Index begins with 1928.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Official's bond - Public Official Bond (Form); order from the circuit judge; oath of office; bond release; blanket bond - terms, rider(s), limits
	<b>Retention and Disposition</b>	Retain in Agency and destroy five (5)years after the expiration of the bond. NOTE: The Index must be retained an equal period of time

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Series	Records Title and Description	Function and Use
04572	<b>Land Grant Record File (V)</b>	This series documents the land appropriations awarded to veterans, soldiers, and other settlers since the 1700s. It tracks the initial conveyances to veterans of the French and Indian War under King George III of England when he issued the Proclamation of 1763. The grants were awarded in lieu of cash. Land grants authorized by these military warrants can be found in the Virginia and Old Kentucky Land Grant Series. After the Revolutionary War, Virginia continued and expanded the land grant system through its Land Law of 1779. Kentucky, in turn, reaffirmed the system after separation from Virginia with the Kentucky Act of 1796. The land grant system is still in use today as a method of appropriating Kentucky land. Structurally, the process has changed very little since its inception. "Patenting" refers to the system of land appropriation used to transfer land from the Commonwealth to an individual or group of individuals. All deeds track back to an original patent recorded in the Kentucky Land office. Land patenting consists of four steps, all of which must be completed before a title is granted. Step #1 is the warrant (certificate, order) which authorizes a survey to be made. It does not specify the exact location of the land, with some exceptions; however, present-day County Court Orders (Warrants) are to be used within the county in which they are issued. (*In addition to 261 Volumes, 145,000 Surveys)
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Warrants authorizing surveys; name of warrant recipient and reason for warrant issuance; original surveys with the land location (including original surveys by Daniel Boone); Governor grant-transferring title from state to individual; supporting documents; affidavits, wills, receipt of payment
	<b>Retention and Disposition</b>	Retain permanently in agency
04573	<b>Entry Books and Indexes for Military and Fayette, Lincoln, Nelson Counties - (Nelson County 1785-1820; Fayette County 1782-1817; Lincoln County 1779-1787; Military 1784-1797) (V)</b>	Closed Series - This series documented the land reserved for patenting. The entry, which was the second step in attempting to reserve land for appropriation, stated the intention to file for a land patent. County surveyors were responsible for creation of the series. It identified the name of the applicant, the type of warrant being used, date of entry, and the acreage and location of the tract. The indices to the entries are filed with the entries. *The entries were for Nelson County (1785-1820), Fayette County (1782-1817), Lincoln County (1779-1787), and Military (1784-1797). Jefferson County and Kentucky County are on file with the Jefferson County Archives, Louisville, Kentucky.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Number of entry; name of applicant; type of warrant; date of entry; location of tract, acreage; index indicates which entry book, page number, and name in entry book
	<b>Retention and Disposition</b>	Retain in agency

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Series	Records Title and Description	Function and Use
04574	<b>Military and Treasury Warrant Register (Index) - (Contains Military warrants and indexes, including Virginia Treasury warrants and certificates by County Commissioners) (V)</b>  <b>Access Restrictions</b>  <b>Contents</b>	<p>Closed Series - This series documented the authorization for surveys to be done in a series where land was to be awarded for military service, or from the Virginia Treasury. The type of warrant authorizing a patent provides a great deal of information in understanding why a warrant was issued. This series has combined from the previous schedule Military Warrants (Register) and Indexes (including Virginia Treasury Warrants) and Certificates by County Commissioners, who were appointed to issue warrants/certificates.</p> <p>None</p> <p>Series contains: Type of warrant; acreage; name of recipient; warrant number; date of issue</p>
	<b>Retention and Disposition</b>	Retain permanently in agency
04575	<b>Deputy Register of Surveys File - (Covers period 1782 - 1786) (V)</b>  <b>Access Restrictions</b>  <b>Contents</b>	<p>Closed Series - This series documented the entries of survey rulings on patents registered in the Land Offices in Richmond, Virginia and Kentucky, including a military district near Louisville. It recorded military warrants and remaining claims to land appropriated prior to 1792. Surveys are the third stage in securing a land grant after getting a warrant authorized and filing for a patent. The survey register will verify the name of the individual who sought a warrant, the type of warrant, etc.</p> <p>None</p> <p>Series contains: Name of applicant of survey; acreage; type of warrant; date when grant was returned to individual; county; any caveats or challenges filed prior to March, 1787</p>
	<b>Retention and Disposition</b>	Retain in permanently agency
04576	<b>Declined Patent Application File - (Relates to land appropriations)</b>  <b>Access Restrictions</b>  <b>Contents</b>	<p>This series documents the denial of a patent application. Patenting is the system of land appropriation that transfers land from the state to an individual or group of individuals. Only vacant lands may be appropriated. Land that has escheated to the state, or has been forfeited for failure to list it for taxation or for nonpayment of taxes, or land that has been legally and validly patented before, is not vacant land. Unless all the required documents are submitted, a patent is denied. The file includes the application and a letter from the Attorney General stating the reasons for the denial.</p> <p>None</p> <p>Series contains: Plat maps; county warrants; correspondence; applications; survey descriptions; applicant affidavits; surveyor's affidavits</p>
	<b>Retention and Disposition</b>	Retain permanently in agency

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Series	Records Title and Description	Function and Use
04578	<b>Suits Filed Against Sheriffs by State Series - (Covers period 1863-1894) (V)</b>	Closed Series: This series documented lawsuits by the state against the sheriff of a territory, where he served as tax collector, for collection of taxes. The sheriff served as an agent of the Commonwealth. If the land had been abandoned, the sheriff had the authority to sell it for payment of any note that may exist.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Style of suit; name of owner of property; date of sale; appraised value; amount paid by the state; date of final sale; name of purchaser; amount paid; terms of sale; remarks
	<b>Retention and Disposition</b>	Retain permanently in agency
04579	<b>Soil Conservation District, Articles of Incorporation Certificates File and Index (V)</b>	This series documents the soil conservation districts (now the Soil and Water Conservation Commission, which was established in 1960), as set up in the 1940s by the federal government to raise money and provide assistance to farmers in the way of advice and guidance in soil conservation methods and practices. The Articles of Incorporation document the establishment of the district, who served, and when. The federal Agriculture and Soil Conservation Services Office, guided by the Soil Conservation District Law, set up taxing districts in the state in order to engage in conserving soil resources and preventing and controlling erosion. It provided for the establishment of the State Soil Conservation Committee, with the powers and duties of the districts, including the power to acquire property, to adopt programs and regulations for the discontinuance of land-use practices, and to provide for the enforcement of such programs. It provided for farm agents and advisors to teach and demonstrate the conditions and consequences of managing land against the laws of nature. Under Senate Bill 194, passed by the 1996 General Assembly, this series would contain information regarding any soil conservation district mergers.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Organizational certificates; notarized statement of application; statement of operation; certificates of appointment to committee; and merger statements
	<b>Retention and Disposition</b>	Retain permanently in agency
04580	<b>Incorporated Towns (Sixth Class Cities) File (V)</b>	This series documents the record of incorporation of cities in Kentucky. Since July 1980, every city operating as a public corporation and as a unit of government is required to file a document listing the name of the city, the year of its incorporation, its present classification and boundaries. Under the terms of KRS 81A.470, the following are to be recorded in the respective office of the county clerk and with the Secretary of State: a city's limits are enlarged or reduced; there are subsequent annexations, mergers, dissolutions; formations of new cities; or city relocations. The series contains copies of documents in existence prior to 1981, for example, Lexington's incorporation in 1780. Documents existing prior to 1981 are also filed with the respective county clerk. This series replaces series 121 in the previous schedule.
	<b>Access Restrictions</b>	None
	<b>Contents</b>	Series contains: Statements of annexation, merger, dissolution; formation of new cities include correspondence, maps, date of incorporation, class status as of 1980; city relocations
	<b>Retention and Disposition</b>	Retain permanently in agency

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# *Electronic System With Included Records Series*

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## **General Government Cabinet**

### *Secretary of State*

**System Description:** Integrated Desktop Environment is a central system used by office staff to manage public records and accounting within the Secretary of State's Office.

The Secretary of State's Office is mandated by Kentucky statute to process and retain the records held in this database.

**System Contents:** Contains Summons File, Hague Convention Summons File, Notary Public Commission File, Notary Public Special Commission File, Oath of Office Certification File, Certification of Election Flings and Election Totals File, Executive Orders Commissioning Kentucky Colonels, Governor's Executive Order File-Miscellaneous, Executive Order File, Enrolled Bills of the Legislature, Trademark/Service Mark Application File, Uniform Commercial Code Financing Statement File, Corporation Files, Apostille and Authentication File, Interlocal and Interstate Compact Agreement File and the Incorporated Towns File

All data is entered by central office staff.

#### **General Schedule Items:**

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**System Title:** SOS Integrated Desktop Environment

**Alternate Title:** IDE

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<b>Series #:</b>	<b>Series Title:</b>	<b>Disposition Instructions:</b>	<b>Total Retention:</b>
03110	Summons File	Retain in Agency and destroy six(6) months from date of Memorandum Return to Court or No Response Letter	6 months
03111	Hague Convention Summons File	Retain in Agency and destroy one (1) year from date of Memorandum Return to Court or No Response Letter	1
03124	Notary Public Special File	Retain in Agency four (4) years; destroy after audit	
03393	Notary Public Commission File	Retain permanently in agency	P

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<b>Series #:</b>	<b>Series Title:</b>	<b>Disposition Instructions:</b>	<b>Total Retention:</b>
03394	Trademark/Service Mark Application File	Retain in Agency and destroy three (3) years after date of expiration, and audit	3
03396	Uniform Commercial Code Financing Statement File	Retain in Agency and destroy one (1) year after lapse or termination	1
04557	Oath of Office Certification File	Retain in Agency four (4) years after the end of the gubernatorial term; transfer to State Archives Center for permanent retention.	P
04558	Certification of Election Filings and Election Totals File	Retain in Agency no longer than nine (9) years, then transfer to the State Archives Center for permanent retention.	P
04559	Executive Orders Commissioning Kentucky Colonels	Retain in Agency four years (4) after the end of the gubernatorial term; transfer to State Archives Center for permanent retention.	P
04560	Governor's Executive Order File - Miscellaneous	Retain in Agency four (4) years after the end of the gubernatorial term; transfer to State Archives Center for permanent retention	P
04561	Executive Orders - Governor's Leave of Absence from State	Transfer to the State Archives Center	P
04562	Governor's Executive Order File	Retain in Agency four (4) years after the end of the gubernatorial term; transfer to State Archives Center for permanent retention.	P
04563	Governor's Executive Order File	Retain in Agency four (4) years after the end of the gubernatorial term; transfer to State Archives Center for permanent retention.	P
04564	Executive Journal and Indexes	Retain permanently in agency	P
04565	Enrolled Bills of the Legislature	Retain in Agency eight (8) years; transfer to the State Archives Center for permanent retention.	P
04570	Interlocal and Interstate Compact Agreement File	Retain in Agency and destroy ten (10) years after satisfaction of the terms of the agreement	10

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***System Title:*** SOS Integrated Desktop Environment

***Alternate Title:*** IDE

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<b><i>Series #:</i></b>	<b><i>Series Title:</i></b>	<b><i>Disposition Instructions:</i></b>	<b><i>Total Retention:</i></b>
04580	Incorporated Towns (Sixth Class Cities) File	Retain permanently in agency	P
04583	Corporation File	Retain permanently in agency	P
04585	Business/Corporation Information	Retain permanently in agency	P
04587	Apostille and Authentication File	Retain in Agency and destroy six (6) months after the end of term of the Secretary of State	6 months



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# *Electronic System With Included Records Series*

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## **General Government Cabinet**

### *Secretary of State*

#### **Land Office**

**System Description:** The Secretary of State's Office is the repository for over 100,000 land patent files containing warrants, surveys, and grants filed pre-statehood to the present. The Land Office System is a set of databases used to index these records. The databases are searchable online through the Secretary of State's website. Scanned images are available for many of the patent files.

**System Contents:** The system contains databases for the following land record series:  
Virginia and Old Kentucky Patent Series  
Revolutionary War Warrants  
West of Tennessee River Military Patents  
Certificates of Settlement & Preemption Warrants  
Virginia Treasury Warrants  
Lincoln Entries  
County Court Order Patents  
Jackson Purchase  
West of Tennessee River Non-Military Patents  
County Formations

Database entries may include the following: the name(s) of persons acquiring land; immediate assignees; acreage; tract location; price paid; date of purchase/award; and warrant number.

**General Schedule Items:** E0039 Finding Aids (Indexes) or Tracking Systems

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**System Title:** Land Office System

**Alternate Title:**

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<i>Series #:</i>	<i>Series Title:</i>	<i>Disposition Instructions:</i>	<i>Total Retention:</i>
04572	Land Grant Record File	Retain permanently in agency	P
04573	Entry Books and Indexes for Military and Fayette, Lincoln, Nelson Counties	Retain in agency	P
04574	Military and Treasury Warrant Register (Index)	Retain permanently in agency	P

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# *Electronic System With Included Records Series*

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## **General Government**

### *Secretary of State*

***System Description:*** Integrated Desktop Environment is a central system used by office staff to manage public records and accounting within the Secretary of State's Office.

The Secretary of State's Office is mandated by Kentucky statute to process and retain the records held in this database.

***System Contents:*** Contains Summons File, Hague Convention Summons File, Notary Public Commission File, Notary Public Special Commission File, Oath of Office Certification File, Certification of Election Flings and Election Totals File, Executive Orders Commissioning Kentucky Colonels, Governor's Executive Order File-Miscellaneous, Executive Order File, Enrolled Bills of the Legislature, Trademark/Service Mark Application File, Uniform Commercial Code Financing Statement File, Corporation Files, Apostille and Authentication File, Interlocal and Interstate Compact Agreement File and the Incorporated Towns File

All data is entered by central office staff.

### ***General Schedule Items:***

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***System Title:*** SOS Integrated Desktop Environment

***Alternate Title:*** IDE

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***Series #:*** ***Series Title:***

***Disposition Instructions:***

03110	Summons File	Retain in Agency and destroy six(6) months from date of Memorandum Return to Court or No Response Letter
03111	Hague Convention Summons File	Retain in Agency and destroy one (1) year from date of Memorandum Return to Court or No Response Letter
03124	Notary Public Special File	Retain in Agency four (4) years; destroy after audit
03393	Notary Public Commission File	Retain permanently in agency
03394	Trademark/Service Mark Application File	Retain in Agency and destroy three (3) years after date of expiration, and audit

<b>Series #:</b>	<b>Series Title:</b>	<b>Disposition Instructions:</b>
03396	Uniform Commercial Code Financing Statement File	Retain in Agency and destroy one (1) year after lapse or termination
04557	Oath of Office Certification File	Retain in Agency four (4) years after the end of the gubernatorial term; transfer to State Archives Center for permanent retention.
04558	Certification of Election Filings and Election Totals File	Retain in Agency no longer than nine (9) years, then transfer to the State Archives Center for permanent retention.
04559	Executive Orders Commissioning Kentucky Colonels	Retain in Agency four years (4) after the end of the gubernatorial term; transfer to State Archives Center for permanent retention.
04560	Governor's Executive Order File - Miscellaneous	Retain in Agency four (4) years after the end of the gubernatorial term; transfer to State Archives Center for permanent retention
04561	Executive Orders - Governor's Leave of Absence from State	Transfer to the State Archives Center
04562	Governor's Executive Order File	Retain in Agency four (4) years after the end of the gubernatorial term; transfer to State Archives Center for permanent retention.
04563	Governor's Executive Order File	Retain in Agency four (4) years after the end of the gubernatorial term; transfer to State Archives Center for permanent retention.
04564	Executive Journal and Indexes	Retain permanently in agency
04565	Enrolled Bills of the Legislature	Retain in Agency eight (8) years; transfer to the State Archives Center for permanent retention.
04570	Interlocal and Interstate Compact Agreement File	Retain in Agency and destroy ten (10) years after satisfaction of the terms of the agreement
04580	Incorporated Towns (Sixth Class Cities) File	Retain permanently in agency
04583	Corporation File	Retain permanently in agency
04585	Business/Corporation Information	Retain permanently in agency
04587	Apostille and Authentication File	Retain in Agency and destroy six (6) months after the end of term of the Secretary of State

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# *Electronic System With Included Records Series*

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## **General Government**

### *Secretary of State*

#### **Land Office**

***System Description:*** The Secretary of State's Office is the repository for over 100,000 land patent files containing warrants, surveys, and grants filed pre-statehood to the present. The Land Office System is a set of databases used to index these records. The databases are searchable online through the Secretary of State's website. Scanned images are available for many of the patent files.

***System Contents:*** The system contains databases for the following land record series:  
Virginia and Old Kentucky Patent Series  
Revolutionary War Warrants  
West of Tennessee River Military Patents  
Certificates of Settlement & Preemption Warrants  
Virginia Treasury Warrants  
Lincoln Entries  
County Court Order Patents  
Jackson Purchase  
West of Tennessee River Non-Military Patents  
County Formations

Database entries may include the following: the name(s) of persons acquiring land; immediate assignees; acreage; tract location; price paid; date of purchase/award; and warrant number.

***General Schedule Items:*** E0039 Finding Aids (Indexes) or Tracking Systems

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***System Title:*** Land Office System

***Alternate Title:***

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***Series #: Series Title:***

***Disposition Instructions:***

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04572	Land Grant Record File	Retain permanently in agency
04573	Entry Books and Indexes for Military and Fayette, Lincoln, Nelson Counties	Retain in agency
04574	Military and Treasury Warrant Register (Index)	Retain permanently in agency

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