SOS3.1 Business Section

SOS 3.1.1 Entity Records (Incorporations)

Entity filings pursuant to RIGL 7-1.2, 7-5.1 7-6, 7-7, 7-8, 7-12, 7-13 and 7-16. May include records of powers of attorney (including expired and revoked).

Retention: Permanent.

SOS 3.1.2 Inactive Entity Records (Incorporations)

Entity filings pursuant to RIGL 7-1.2, 7-5.1, 7-6, 7-7, 7-8, 7-12, 7-13 and 7-16 which are inactive due to revocation, forfeiture, dissolutions, withdrawals or merger.

Retention: Permanent.

SOS 3.1.3 Annual Reports

Annual reports of entities submitted to the Corporations Division pursuant to RIGL 7-1.2-1501, 7-6-90 & 7-16-66.

Retention: Permanent.

SOS 3.1.4 Foreign-Name Registrations (New & Renewals)

Filing made pursuant to RIGL 7-1.2-404 to register the name of a foreign corporation.

Retention: Retain one (1) year.

SOS 3.1.5 Name Reservations

Filings made pursuant to RIGL 7-1.2-403, 7-13-3, 7-16-10, and 7-6-11.1.

Retention: Retain one (1) year.

SOS 3.1.6 Log Books

Documents the changes of the entity structure either through mergers or name changes prior to computerization.

Retention: Permanent.

SOS 3.1.7 Games of Chance

Forms filed with the office pursuant to RIGL 11-50-1. Includes applications and rules pertaining to specific contests.

Retention: Retain one (1) year.

SOS 3.1.8 Games of Chance - Winners Lists
Documents provided by promotion companies upon request of the Office of the Secretary of State pursuant to RIGL 11-50-3.

a) Solicited winners lists.
Retention: Retain six (6) months.

b) Unsolicited winners lists.
Retention: Destroy/shred upon receipt. No notification required.

SOS3.1.9 Designation of Agent for Nonresident Owner of Amusements
Form submitted to the office per RIGL 23-34.1-14.

Retention: Retain three (3) years.

SOS3.1.10 Designation of Agent for Nonresident Landlord
Form submitted to the office per RIGL 34-18-22 for purposes of service of process.

Retention: Retain until updated, superseded or obsolete.

Note: Copies are also filed in the office of the city or town clerk where the dwelling unit is located.

SOS3.1.11 Appointment of Attorney by Nonresidents Doing Business in the State
Form submitted to the division per RIGL 9-5-29. Includes appointment of attorney, replacement of attorney and revocation of power of attorney.

Retention: Retain three (3) years after superseded.

SOS3.1.12 Indexes
Indices used for access and retrieval of entity/corporate filings. Includes card files used prior to computerization, and electronic indexes.

Retention: Permanent.

SOS3.1.13 Service of Process Records
Records of all processes served upon the Office of the Secretary State including summonses, complaints, writs and receipts.

Retention: Retain five (5) years from receipt of the service of process per RIGL 7-1.2-503.

SOS3.1.14 Requests for Good Standing
Requests for certified copies, letters of good standing, status, or certificate of fact.

Retention: Retain one (1) year.
(General Records Schedule GRS5.1 General Correspondence – Retain one (1) year.)

SOS3.2 UCC Section (Uniform Commercial Code)

SOS 3.2.1 UCC Financing Statements

Financing statements filed pursuant to RIGL 6A-9-501 & 6A-9-515. May include attached amendments and terminations.

a) Public finance and manufactured homes-transaction financing statements

Retention: Retain one (1) year after the effectiveness of the financing statement has lapsed (RIGL 6A-9-522 (a)).

Note: Public-finance or manufactured –home transactions are effective for a period of thirty (30) years (RIGL § 6A-9-515 (b).

b) Transmitting utility financing statements

Retention: Retain one (1) year after termination (RIGL 6A-9-515 (f)).

c) All other UCC statements

Retention: Retain one (1) year after the effectiveness of the financing statement has lapsed (RIGL 6A-9-522 (a)).

Note: UCC financing statements are effective for a period of five (5) years after the date of filing (RIGL 6A-9-515(a)).

SOS 3.2.2 UCC Financing Statements Copies/Scanned Batches

Paper financing statements filed with the office and subsequently scanned into the database. Scanned version becomes copy of record complete with recording information. Hard copy acts as evidence of receipt of record.

Retention: Retain until of no further administrative value (RIGL 6A-9-522 (b)).

SOS 3.2.3 UCC Information Requests

Requests made to the UCC office for certified copies of UCC financing statements. May include general correspondence.

Retention: Retain one (1) year.
(General Records Schedule GRS5.1 General Correspondence – Retain one (1) year.)

SOS3.3 Notary Section

SOS 3.3.1 Certificates of Engagement and Oaths of Office

Certificates of Engagement of notaries, justices of the peace, state senators and representatives, railroad commissioners and court clerks. Includes application and local board of canvassers verification of voter status. May include change of address and change of name forms.

Retention: Permanent.

Note: Certificates of Engagement and Oaths of Office of newly elected General Officers, Governor's Cabinet, Judges and Sheriffs are held by Secretary of State's Public Information Division.

SOS 3. 3.2 Apostilles/Authentications – Requests for Certification

Requests to the office for apostilles per the requirements as stipulated by the Hague Convention of October 5, 1961 as well as certifications required by non-members of the Hague Convention. May include requests that are voided and/or not picked up by requestor.

Retention: Retain one (1) year.
(General Records Schedule GRS5.1 General Correspondence – Retain one (1) year.)

SOS3.3.3 Apostille Verification and Processing Log

Documents the verification of signatures and the processing of requests for apostilles per the requirements of the Hague Convention of October 5, 1961. Includes verification or assigned id number, date of request, and name of notary or other whose signature requires verification.

Retention: Retain three (3) years.

SOS 3.3.4 Trade and Service Marks Applications

Records filed with the office pursuant to RIGL 6-2-2.

Retention: Retain two (2) years after expiration then transfer to State Archives for review.

SOS 3.3.5 Assignments

Form that documents the transfer of trade or service mark from one owner to another.

Retention: Retain two (2) years after expiration then transfer to State Archives for review.

SOS3.4 Business Information Center Section

SOS3.4.1 Requests for information

Requests made to the division for information and requirements for starting a small business in Rhode Island.

Retention: Retain one (1) year.
(General Records Schedule GRS5.1 General Correspondence - Retain one (1) year.)

SOS3.4.2 Reference materials

Reference materials provided to clients from Business Fast Start initiative. May include copies of forms, regulations and applications. Includes checklists.

Retention: Retain until of no further administrative value.
(General Records Schedule GRS5.11 Reference Material – Retain until of no further administrative value.)

SOS3.5 Administration

SOS 3.5.1 Certificates of Records Destruction

Certification of Records Destruction forms (PRA 003) signed by the authorized agency official and submitted to, and signed by, the State Archivist/Public Records Administrator. Certificates authorize the disposal of records listed in this and other applicable schedules. RIGL 38-1-10, 38-3-6, and 42-8.1-10 (j)

Retention: Permanent.