

**RECORDS RETENTION SCHEDULE**

Form RC-050 (Revised 01/2010)



STATE OF CONNECTICUT  
 Connecticut State Library  
 Office of the Public Records Administrator  
 231 Capitol Avenue, Hartford, CT 06106  
[www.cslib.org/publicrecords](http://www.cslib.org/publicrecords)

RETENTION SCHEDULE  
 # 11-5-7

1. **AUTHORITY:** The Office of the Public Records Administrator issues this retention and disposition schedule under the authority granted it by CGS §11-8 and §11-8a.
2. **FORMAT:** Retention periods listed on this schedule apply to the record, regardless of physical format. Records may be either hard copy or electronic. If the record is electronic, the custodian of the record must be able to interpret and retrieve the data for the minimum retention period listed for the records series.
3. **DISPOSITION AUTHORIZATION:** This schedule is used concurrently with the *Records Disposition Authorization* (Form RC-108). The RC-108 must be signed by the agency Records Management Liaison Officer (RMLO), the State Archivist, and the Public Records Administrator *prior* to the destruction of public records.

<b>AGENCY:</b> Office of the Secretary of the State (SOTS)	<b>AGENCY ADDRESS:</b> 30 Trinity Street, Hartford CT 06106	<b>This schedule is:</b> <input type="checkbox"/> new <input checked="" type="checkbox"/> revised
<b>PROGRAM / UNIT:</b> Commercial Recording Division (CRD) — Uniform Commercial Code Function		<b>If revised, superseded schedule number(s):</b> 96-9-4 #1-13 only

<b>RMLO (type or print):</b> Barbara Sladek	<b>TITLE (type or print):</b> Records & Legislative Services Assistant Coordinator	<b>APPROVED (State Archivist):</b> 	<b>DATE:</b> 11/3/11
<b>APPROVED (RMLO):</b> 	<b>DATE:</b> 10/28/2011	<b>APPROVED (Public Records Administrator):</b> 	<b>EFFECTIVE DATE:</b> 11/3/2011

SERIES NUMBER	RECORDS SERIES TITLE & DESCRIPTION	APPROVED RETENTION PERIOD			NOTES & CITATIONS
		Office (A)	Off-site (B)	Total (A + B)	
01.	<b>Uniform Commercial Code Camera Original Microfilms</b>  Consists of camera original microfilm reels containing images of liens, financing statements, and other documents filed with the Secretary of the State under the provisions of CGS Title 42a, Uniform Commercial Code, and related statutes.	1 year after lapse or termination for all filings imaged on reel [CGS §42a-9-522]	- 0 -	1 year after lapse or termination for all filings imaged on reel [CGS §42a-9-522]	Images of items in series #02, #08, #09, #11, #12, and #14 below.

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02.	<p><b>Uniform Commercial Code (UCC) Filings (U-Volumes)</b></p> <p>Consists of liens, financing statements, and related documents and printed record copies of electronically filed liens, financing statements, and related documents.</p>	Until microfilmed or digitally scanned	6 years after lapse or termination	6 years after lapse or termination	<p>Series opened 10/1994.</p> <p>CGS Title 42a, Article 9 (Uniform Commercial Code: Secured Transactions) and CGS Chapters 847: Liens and 904: Attachments.</p> <p>Includes Judgment Liens on Personal Property filed in accordance with CGS Chapter 906: Postjudgment Procedures and correction statements.</p>
03.	<p><b>CONCORD UCC Database, Active Filings Index</b></p> <p>Consists of filing history and document indexing data for non-lapsed and non-terminated liens, financing statements, and related documents maintained in CONCORD, the online database for UCC filings.</p>	Continuously updated	- 0 -	Continuously updated	<p>Lapsed and terminated records are moved to series #04 as they become eligible.</p> <p>Index is used to locate original documents, microfilmed images, scanned images, and for preparation of information reports for a given debtor.</p>
04.	<p><b>CONCORD UCC Database, Lapsed and Terminated Filings Index</b></p> <p>Consists of filing history and document indexing data removed from active filings index for lapsed and terminated liens, financing statements, and related documents.</p>	6 years after lapse or termination of filings	- 0 -	6 years after lapse or termination of filings	Index is used to locate original documents, microfilmed images, and scanned images.
05.	<p><b>CONCORD UCC Database Index, Work Orders Table</b></p> <p>Consists of information regarding documents submitted for processing through the UCC unit, including, but not limited to fees collected and name and address of filer.</p>	15 years	- 0 -	15 years	
06.	<p><b>CONCORD UCC Database Index, Correspondence</b></p> <p>Consists of electronic copy of correspondence indicating acceptance or rejection of filing by the UCC unit. Includes name of filer, address, filed document type, and fees collected. Duplicates data contained in series #05.</p>	1 year	- 0 -	1 year	
07.	<p><b>UCC Filing Rejections Returned as Non-deliverable</b></p> <p>Consists of correspondence rejecting a UCC document for filing, including the document rejected, which are returned by the U.S. Postal Service as non-deliverable.</p>	1 year	5 years	6 years	

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08.	<b>UCC Numericals File</b> Consists of carbon copies of numbered financing statements, liens, and related documents used to create a numerical index to the filed documents (also called #2 copies).	1 year after lapse or termination of filings [CGS §42a-9-522]	- 0 -	1 year after lapse or termination of filings [CGS §42a-9-522]	Series closed 10/1994. Includes Judgment Liens on Personal Property filed in accordance with CGS Chapter 906: Postjudgment Procedures. See series #02 for related records.
09.	<b>UCC Oversizes File</b> Consists of non-standard size pages of information submitted with, or in lieu of, standard size financing statement forms.	1 year after lapse or termination of filings [CGS §42a-9-522]	- 0 -	1 year after lapse or termination of filings [CGS §42a-9-522]	Series closed 10/1994. Includes Judgment Liens on Personal Property filed in accordance with CGS Chapter 906: Postjudgment Procedures. Subsequent filings included in series #02.
10.	<b>UCC Lektriever Index File</b> Consists of original copies of liens, financing statements, and related documents arranged alphabetically by debtor name (also called #1 copies).	1 year after discharge, dissolution, or termination of filings [CGS §42a-9-522]	- 0 -	1 year after discharge, dissolution, or termination of filings [CGS §42a-9-522]	Series closed 10/1994. Includes copies of active liens not available in the UCC Numericals File (series #08) and the U-Volumes (series #02). CGS 42a-9-522. Includes Judgment Liens on Personal Property filed in accordance with CGS Chapter 906: Postjudgment Procedures. Subsequent filings included in series #02.
11.	<b>Aircraft Liens</b> Consists of liens placed on aircraft for storage, care, maintenance, repair, service, and related fees and expenses.	1 year after discharge or dissolution of lien	- 0 -	1 year after discharge or dissolution of lien	Series closed 10/1994. Subsequent filings included in series #02. CGS Chapter 847: Liens.
12.	<b>Vessel Liens</b> Consists of liens placed in connection with the building, repairing, mooring, dockage or storage of watercraft and related records.	1 year after dissolution, discharge, or release of lien	- 0 -	1 year after dissolution, discharge, or release of lien	Series closed 10/1994. Subsequent filings included in series #02. CGS Chapter 847: Liens.

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13.	<p><b>Bulk Transfer and Auction Sales Notices</b></p> <p>Consists of property schedules, creditor lists, and related documents regarding bulk transfer and sale of materials, supplies, merchandise, inventory and equipment.</p>	25 years	- 0 -	25 years	<p>Series closed 1995.</p> <p>CGS §42a-6-101 to §42a-6-110a (Uniform Commercial Code: Bulk Transfers); conditionally repealed effective October 1, 1993.</p> <p>Actions related to transfers/sales to be taken within six months from date of transfer/sale or six months from discovery of concealed transfer/sale.</p>
14.	<p><b>Notices and Discharges of Attachment</b></p> <p>Consists of records documenting placement and removal of liens on non-movable goods and fixtures.</p>	1 year after discharge of attachment	- 0 -	1 year after discharge of attachment	<p>Series closed 10/1994.</p> <p>Subsequent filings included in series #02 above.</p> <p>CGS Chapter 904: Attachments, specifically §52-283, §52-283a, and §52-287.</p>
15.	<p><b>Bankruptcy and Discharge of Bankruptcy Notices</b></p> <p>Consists of documents notifying the Secretary of the State of the existence, or discharge, of bankruptcy proceedings for a named debtor.</p>	10 years	- 0 -	10 years	<p>Series closed October 1, 2001.</p> <p>Adoption of UCC Revised Article 9 repealed lapse stay provisions of CGS §42a-9-403(2) / Section 65 of Public Act 01-132 and required filing of continuation notices for all financing statements previously continued via bankruptcy notice.</p>

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16.	<p><b>Supervisor Override / Correction Requests (UCC Filings)</b></p> <p>Consists of records documenting requests from staff and members of the public to correct data entry errors on the CONCORD index to Uniform Commercial Code (UCC) filings.</p>	2 years	- 0 -	2 years	<p>Supervisory corrections for UCC are recorded on the UCC CONCORD index and in a filing office statement filed for record with the UCC Filings records series as required by law (RCSA Section 42-9-3).</p> <p>The items in this series (the override/correction sheets) document the request to make the correction and also include supporting documentation for the request.</p>