

# Department of State



## Division of Corporations

### Agent Manual

#### New Procedures and Policies For House Bill 16

Implemented April 14, 2003

## New Priorities - Corporations and UCC

- 1) Priority 1 = One hour service for corporations only - fee \$1000
- 2) Priority 2 = Two hour service
- 3) Priority 3 = Same Day service
- 4) Priority 4 = 24 hour service
- 5) Priority 5 = Must Approval
- 6) Priority 6 = Regular Approval
- 7) Priority 7 = Regular Filings/Certification

## Fax Gateway

Fax Gateway will be available 24 hours a day Monday through Friday. For all faxes sent to the gateway fax numbers, confirmation of receipt will be automatically sent to the preference indicated on the 310 screen. The 310 screen has been modified to include a field for confirmation preference and an additional field for an e-mail address. If you prefer not to get confirmation of fax gateway transmissions, please contact Technical Support.

- The fax sender ID that is programmed into the sending fax machine must correspond with the fax number on the 310 screen, including area code, in order to pick up the preferred method of confirmation.
- If the fax number that is programmed into the sending fax machine does not correspond with the fax number on the 310 screen, fax confirmation will be sent to the fax sender ID that is programmed into the sending fax machine.
- The fax sender ID must include the complete fax number that the confirmation should be sent to including the area code.
- The sender ID number programmed into the sending fax machine to receive confirmation, may be a different fax number than is assigned to the sending fax machine by the telephone company.
- The system will attempt to fax confirmation nine times at five minute intervals.

PLEASE NOTE: If there is no valid sender ID programmed into the sending fax machine then no confirmation will be sent.

The fax confirmation consists of a fax confirmation page that will give the MCS number assigned to the fax, the number of pages, date and time, and a copy of the first page of the fax that was received.

The e-mail confirmation will give the number of pages received, date and time and the MCS number assigned to the fax, all in the subject field. It will also include a copy of the first page of the fax as an attachment. If the agent's preference for confirmation is e-mail, please contact Technical Support with ONE valid e-mail address.

## Agent Fax Gateway Queue for Imaging Agents

Each Imaging Agent requesting a Fax Gateway queue will be assigned a pin number. The pin number will assign the faxes to a specific agent queue identified by the current scan letter. All faxes sent to the queue will get the time and date the fax was received in the queue.

- The agent will be required to SRV the faxes assigned to their queue. Confirmation of receipt will be automatically sent to the fax sender ID programmed into the sending fax machine.
- Confirmation will also be sent to the agent that corresponds to the pin number keyed in, via fax or e-mail, to the preference indicated on the 310 screen.
- Faxes sent thru the Agent Fax Gateway Queue must include the agent's cover memo and will default to the priority selected on the cover memo.
- If sender neglects to enter the Agent's pin number, the request will default to the Division of Corporations regular gateway queue.
  - If a cover memo is not provided, it will be indexed with the sender's information and processed as if it were sent directly to the Division of Corporations.
  - If there is not any sender information provided, the fax will be rejected.

## Scan

No Change to current procedure.

## SRV

- 1) When an SRV is opened in DCIS, a file number must be entered in the file number field on the 410 screen. This new field is located beneath the "Route to:" field.
  - a. If name is reserved for a new company then the reservation number is keyed in.
  - b. If no file number is available then key in 1000000. (Examples: apostilles, no records, authentications and all UCC filings and requests)
- 2) If there are multiple file numbers involved for filings, the associated file numbers must be keyed in on the 415 screen. (Examples: mergers and blankets)
- 3) The new Suspended field located beneath the file number field on the 410 screen will automatically default to a "Y" for all entries. The SRV'r must remove the "Y" for any request other than a corp filing by depressing the space bar or delete key in the Suspended field before hitting enter. When document filing SRV's are invoiced, the "Y" will remain but the block is removed.

PLEASE NOTE: The reason for this block is to prevent any activity on the file number until the filing SRV has been invoiced.
- 4) When an SRV number is opened by filing an approval or requesting a certificate the File Number and Suspended fields will automatically populate.

## Approvals

- 1) Filed date and time in DCIS will default to current system date and time, however, you may update the filed time to a future time. Also, agents must still enter effective date manually.
- 2) All approvals must be delivered to the Division of Corporations the same day and within four hours of filed time entered on DCIS. If a future filed time is entered, you may not deliver the document to the division prior to the filed time you entered in DCIS.
- 3) New file stamp will show date and time filed on DCIS *and* actual date and time delivered to our office by the agent.

## Waivers

The Secretary of State will issue a written waiver upon request for up to two business days after the end of an "extraordinary condition" (EE). This will allow a document to be given a file date and time that is prior to the delivered date and time. The Data Center will log any events that meet the standard of an EE. This includes system outages greater than 4 hours or after 8 P.M. until midnight and any unscheduled closing of the Division of Corporations.

- Agents may request the prior file date through any priority. However, if submitting as an approval, agent cannot enter the filing on DCIS.
- The Waiver will be filed stamped with a stamp that is identical to the stamp that is on the document.
- The Waiver will become part of the permanent record and will be released with all subsequent copy requests for that document at no charge.
- There will not be a county fee assessed for the Waiver, therefore the DCIS document page field will not reflect the Waiver.

## Affidavits

An Affidavit of Extraordinary Condition may be submitted to the Division of Corporations up to two business days after the end of an EE that did not affect the Division of Corporations. The affidavit must attest that an earlier effort to deliver such instrument and tender such taxes and fees was made in good faith, specifying the nature, date and time of such good faith effort and requesting that the Secretary of State establish such date and time as the filing date of such instrument.

- Agents may request the prior file date through any priority. However, if submitting as an approval, agent cannot enter the filing on DCIS.
- If a document is received with an Affidavit, it must be suspended to CSR for manager's approval to accept the Affidavit.

- If the Affidavit is not accepted, the agent will be contacted by CSR and the filing will get the date and time it was actually delivered to our office.
- The Affidavit will become part of the permanent record and will be released with all subsequent copy requests for that document at no charge.
- There will not be a county fee assessed for the Affidavit, therefore, the DCIS document page field will not reflect the Affidavit.

### Filings Suspended To CSR

All SRV's suspended to CSR will be given 5 business days from first contact to send a corrected document or any additional fees needed. At the end of the 5 business days, the document will be automatically rejected with a letter.

### Certification/Copy Requests

Upon attempting to process a certificate or copy on a file number that has been blocked, the system will give you a message that says "PROCESSING SUSPENDED PENDING COMPLETION OF SRV NO 033004268". When this message appears, the certificate or copy order may not be completed until the document filing SRV has been invoiced.