



**Fast Track Filing**  
Moving at the speed of business

## WORK VOLUME



- Move at the Speed of Business, not the Speed of Government
- Ready to anticipate and defeat cyber security and business identity theft attempts.
- Provide 24/7 access to business

— THERE ARE —  
**101**

**DIFFERENT TYPES OF BUSINESS FILINGS**

THROUGH THE SECRETARY OF STATE (SOS) WITH OVER

**326,378**  
**EACH YEAR**



There are over  
**218,769**  
**ACTIVE BUSINESS ENTITIES**



registered in the corporation database.

THE SOS PROCESSES MORE THAN

**126,000**  
**TRANSACTIONS**

for corporations in our database

There are over

**7 MILLION STORED ELECTRONIC DOCUMENTS**

and an additional 2 million microfilm images that are being converted to electronic documents



**Fast Track Filing**

**NOTARIES INCLUDE**  
**6,158 NEW**  
**NEW NOTARY APPLICATIONS &**  
**14,478**  
**RENEWALS**



Our office maintains a database of  
**59,299**  
active notaries



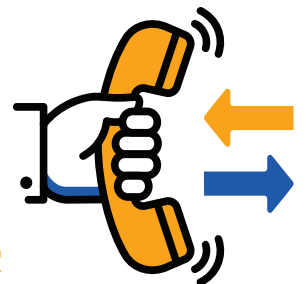
**BIENNIAL REPORTS REPRESENT THE LARGEST NUMBER OF FILINGS.**  
Depending on the year, we receive between  
**69,000-112,000**

**NEW CORPORATION FILINGS**  
CONTINUE TO INCREASE WITH OVER

**20,000**  
**NEW BUSINESS FILINGS PER YEAR**

WE ANSWER MORE THAN

**60,000**  
**PHONE CALLS AND SERVE**  
**12,500 WALK-IN CUSTOMERS A YEAR**



# VOTER READY BY THE NUMBERS

- **Top 6** in the country for voter registration and voter participation
- **93%** of Iowans are registered to vote
- **70,000** Iowans registered to vote online in 2016
- **94%** of Iowans possess a valid Iowa driver's license or non-operator's ID
- **123,000** Voter ID cards sent to every registered voter who did not possess a valid Iowa driver's license or non-operator's ID
- **99** county auditors
- **9,000** poll workers
- **15** stakeholder groups at focus group meeting in November to discuss and provide feedback Voter Ready initiative
- **Dozens** of meetings and presentations with stakeholder groups
- **More than 100** other groups have requested and received access to the toolkit
- **34** groups have downloaded educational materials from our Voter Ready toolkit
- **All 99** county auditors & and **all 150** state legislators been offered access to toolkit
- **50** signups from Voter Ready tour so far
- **72** counties with electronic poll books when we announced the Election Modernization & Integrity Act in January 2017
- **91** counties that have used or sign agreements to use electronic poll books as of February 2018
- **38** colleges and universities that participated in our first College Voter Engagement Drive
- **52** college & university presidents received letter requesting they provide students with proof of residency for Election Day registration
- **1,200** Iowans who signed up for reminders to vote through MyIowaVote.com in 2016
- **350** Safe at Home participants, able to vote without fear of their address being exposed on public records
- **45** counties that now include Safe at Home participants
- **260** schools that participate in our Iowa Youth Straw polls
- **50,000+** students participating in Iowa Youth Polls each time





**IOWA SECRETARY OF STATE  
ANNUAL REPORT  
2017**

## INTRODUCTION



Serving as your Secretary of State is one of the great honors of my life. I have an important role in overseeing Iowa's elections and the business portal for the state. I take these duties very seriously. My office has three main goals: offer top-notch service to the citizens of Iowa, increase voter participation, and maintain the integrity of the vote. We have accomplished all three.

Iowa's voter registration totals in January 2017 were the highest in state history, surpassing 2,045,000 active voters for the first time. Iowa remains one of the top six states in the country for voter registration and voter participation.

My office made a concerted effort to reach out to military veterans and Iowans with disabilities to make it easier for them to vote. Our efforts were recognized nationally for the 2017 National Association of Secretaries of State (NASS) IDEAS Award.

I proposed a bill to the Iowa Legislature that became the Election Modernization and Integrity Act. The goal was to enhance the technology of Iowa's elections systems. We have succeeded, as more than 90 counties now utilize electronic poll books. This new law makes it easy to vote, but hard to cheat, and greatly reduces the potential for human error. It also ensures no eligible voter will be turned away from the polls. We also passed a bill that will allow 17-year-olds to vote in primaries, beginning in 2019.

Our Safe at Home program continues to grow, with nearly 350 participants. Launched in 2016, Iowa joined 33 other states in providing an address confidentiality program for survivors of domestic violence, sexual assault, trafficking and stalking.

Another major success for my office this year was the Elections 101 curriculum and Iowa Youth Straw Poll. We received the "Outstanding Leadership in Voter Education" Award from the National Student/Parent Mock Election organization. The 2017 Iowa Youth Straw Poll included hundreds of schools and tens of thousands of students participating.

My office is also the business portal for Iowa. We processed another record high in new business filings in Fiscal Year 2017. We are also in the process of instituting a Fast Track Filing system to help provide Iowa businesses quicker and more efficient service. These achievements show our dedication to service, participation, and integrity.

Sincerely,

A handwritten signature in black ink that reads "Paul D. Pate". The signature is written in a cursive, flowing style.

Paul D. Pate  
Iowa Secretary of State

## 2017 ACHIEVEMENTS

### VOTING & ELECTIONS DIVISION

**Record High of Active Registered Voters** – The number of active registered voters on January 3, 2017 was 2,045,864. That is the highest total in Iowa history, surpassing the old mark set in January 2009. Approximately 93 percent of eligible Iowans are registered to vote, according to data from the U.S. Elections Project. Iowa is one of only eight states that offer Election Day and online voter registration, and one of only seven states that has online voter registration, Election Day registration, early voting, and no-fault absentee voting. We remain one of the top six states in the country for voter registration and voter participation.

**National recognition for outreach to Military Veterans and Iowans with Disabilities** – Secretary Pate and his staff were the runners-up for the 2017 National Association of Secretaries of State IDEAS Award. The recognition stemmed from Secretary Pate’s unprecedented effort to help military veterans and Iowans with disabilities vote in advance of the 2016 general election. Utilizing videos and social media, revamping the Secretary of State’s website, and hiring an outreach coordinator, the Secretary of State’s Office reached out to Iowans all over the state to educate them on the resources available to help them vote. The Secretary of State’s Office also partnered with the Iowa Developmental Disabilities Council to conduct workshops in 45 counties.

**Election Modernization and Integrity Act becomes law** – Secretary Pate introduced legislation in 2017 aimed at enhancing Iowa’s elections technology and reducing the risk for human error and fraud, while ensuring no eligible voter is turned away from the polls. The bill was signed into law in May. The legislation included a revolving loan fund to help counties purchase electronic poll books. Since its passage, the number of counties with electronic poll books has grown from 72 to 90, and at least seven more counties are in the process of implementing electronic poll books in 2018. The election law changes will include a “soft rollout” in 2018, so voters, poll workers and elections officials can grow accustomed to the changes before full implementation in 2019.

**Safe at Home continues expansion** - The Safe at Home (SAH) program grew significantly in 2017. SAH is an address confidentiality program that was created to protect survivors of domestic abuse, sexual assault, trafficking, and stalking from being found by their abusers. Safe at Home currently serves nearly 350 participants in 46 counties. Over the past year, the SAH staff has made over 50 presentations to various organizations and agencies. Safe at Home informational materials are on display throughout the state, including rest stops, hospitals, libraries, courthouses, and various state agencies.

### **Partnership with EAC for IT, cybersecurity training for county auditors -**

Secretary Pate and the U.S. Elections Assistance Commission (EAC) partnered in November to conduct information technology/cybersecurity workshops for county auditors and their staff. Around 150 county auditors and staff from 50 different counties across the state participated in the workshops, hearing from EAC Chairman Matt Masterson and others. The classes were offered free of charge to participants. They provided auditors and elections staff with the tools and information necessary to remain vigilant on issues such as cybersecurity, regardless of the attendees' level of information technology experience prior to the workshops.

## **BUSINESS SERVICES**

**Small Business Partnership with Google, SBDC** - As part of an ongoing effort to promote and encourage entrepreneurship in Iowa, Secretary Pate continued a partnership with Google to help small businesses get off the ground, grow their online presence and achieve success. New businesses in Iowa can take advantage of the "Put Your Business on Google" program after they file with the Secretary of State's Office. Existing businesses can utilize the resources to enhance their digital footprint. The Secretary of State's Office provided space for the Iowa Small Business Development Centers at the Iowa State Fair booth to help fairgoers learn about and register for the Google initiative.

**Fast Track Filing** - The SOS is implementing a new Fast Track Filing system that will improve the effectiveness and efficiency in which businesses file with the state. Businesses across Iowa will see immediate results with this new initiative. The Fast Track Filing System will free up staff to handle a higher phone call volume to assist Iowa's business community quicker and more efficiently. The system will greatly reduce processes currently required by Business Services staff such as scanning documents, serving as cashiers, and extended correspondence with filers. The Fast Track Filing system will launch in the spring of 2018.

**Email Correspondence** - The SOS implemented a new way of communicating with the different entities that are required to file their biennial report. In 2017, the Business Services Division communicated with all those entities that had a registered agent email address on record and sent them multiple email reminders with all the needed information in order to file their biennial report. This not only saved the State of Iowa money on postage, it better helped us communicate directly with the registered agent in a more effective manner for both the business entity and our office. We are continuing to look for better ways to increase our efficiency in communicating with our stakeholders.

**Efficient Processing** - The Secretary of State's Office processed more than 200,000 corporate documents in 2017, an increase of more than 75,000 from 2016.

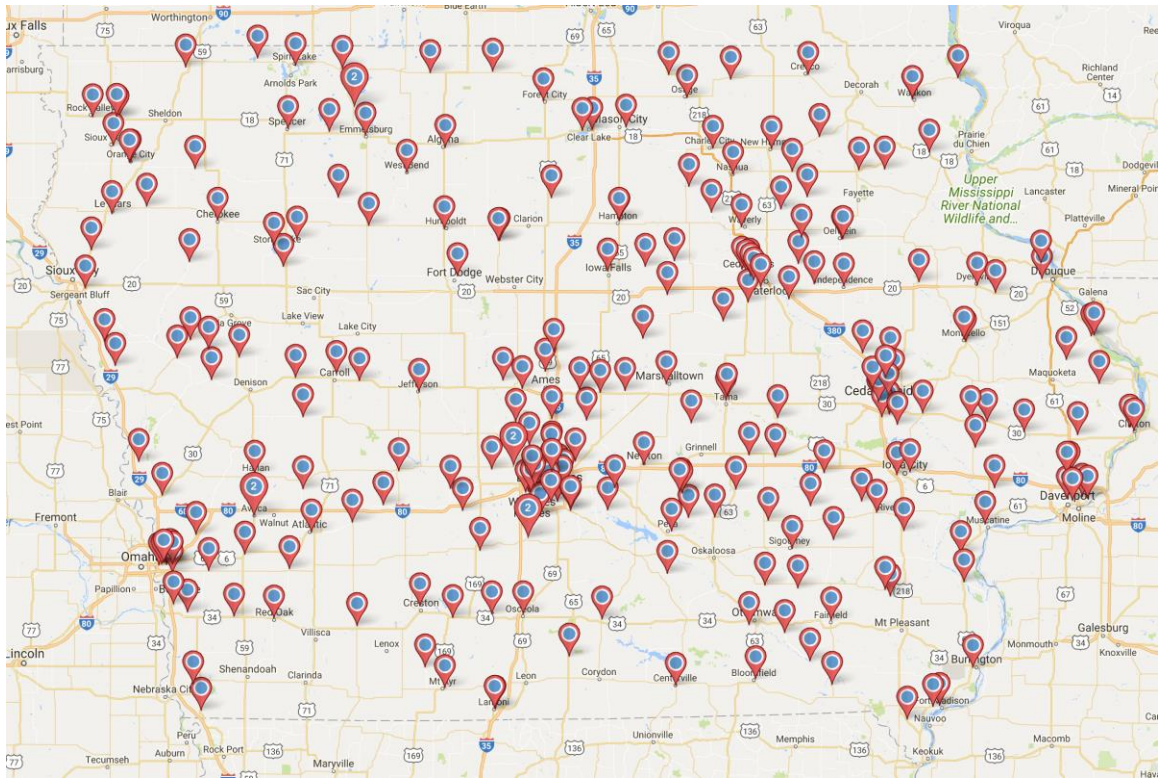


## GENERAL

### **National Voter Education award for Youth Straw Polls/Youth Caucus -**

Secretary Pate was the winner of the National State Boards of Education Award for “Outstanding Leadership in Voter Education”. The award stemmed from Secretary Pate’s efforts in conducting statewide Iowa Youth Straw Polls and the Iowa Youth Caucus. Hundreds of schools and tens of thousands of students participated.

**Elections 101/Iowa Youth Caucus –** Secretary Pate developed an online curriculum for Iowa high school students, designed to involve students in civic engagement while educating them about Iowa’s unique role in the political process. The curriculum was written by Iowa teachers for Iowa students and included an Iowa Youth Straw Poll. Held in November 2017, hundreds of schools and tens of thousands of students participated in the Straw Poll. A map, showcasing the location of all the schools that participated, is included below:



**Honor a Veteran with Your Vote/Partnership with Hy-Vee –** Secretary Pate continues to expand the Honor a Veteran with Your Vote program. Honor a Veteran is a way to pay tribute to those who served in the military and fought for our rights to choose our representative form of government. Secretary Pate partnered with Hy-Vee to distribute 100,000 Honor a Veteran postcards at all their Iowa stores in conjunction with the grocery chain’s annual Veterans’ Day free breakfast for military veterans and active duty personnel.

**State Fair Straw Poll** – Thousands of people voted in the Secretary’s State Fair Straw Poll. The goal was to get Iowans excited about voting and have fun with the electoral process. During the State Fair, staff at the Secretary’s booth helped hundreds of Iowans register to vote.

**Partnership with the Iowa League of Heroes for “Be A Voter” initiative** - Secretary Pate and the Iowa League of Heroes announced an exciting new partnership to promote voter registration and civic engagement in the state. “Be A Voter” trading cards, featuring the Iowa League of Heroes at the State Capitol, were produced by Secretary Pate’s office. Thousands of cards were distributed at the Iowa State Fair, and the superheroes helped the Secretary’s Office conduct a voter registration drive at the State Fair.

## **DEPARTMENTAL OVERVIEW**

### **VOTING & ELECTIONS DIVISION**

#### **Preparation for 2018 election cycle and new Voter ID requirements**

The Secretary of State’s Elections Division worked extensively on preparing for the 2018 election cycle and implementation of the Voter ID requirements. Ensuring every eligible voter has the necessary identification to cast a ballot, the Elections Division collaborated with Iowa Department of Transportation to compare files and populate driver’s license numbers into voter records. The Secretary of State then sent new Voter ID cards to 123,000 Iowa voters that do not have an Iowa driver’s license or non-operator’s ID. The Elections Division produced a new Precinct Election Official Guidebook, incorporating ID laws, ID Review standards, poll book requirements and quick start pullout guides. They also conducted extensive handbook and form revisions.

#### **Outreach to stakeholder groups**

The Secretary of State’s office conducted a focus group with representatives from the League of Women Voters, the Iowa Democratic Party, the Libertarian Party of Iowa, the Republican Party of Iowa, the Iowa Developmental Disabilities Council, Disability Rights Iowa, NAACP, AARP, Iowa Catholic Conference, LULAC, InterFaith Alliance of Iowa, ABI, Iowa League of Cities, Iowa Farm Bureau, Campus Compact, 50-50 in 2020, Iowa State Association of County Auditors, and college students to receive input and suggestions for developing a voter outreach strategy regarding the election law changes. The office also conducted seminars with the League of Women Voters and met with various groups about the election law changes and strategized ways to educate Iowa voters about the laws.



## **Electronic Poll Book implementation**

Iowa has made great strides toward Secretary Pate's goal of enhancing the technology of our elections by implementing electronic poll books in every county. A revolving loan fund was established by the Iowa Legislature and a loan panel has been appointed by the Secretary of State to help counties with the purchase of e-poll books. 18 new counties have implemented electronic poll books in 2017, seven more plan to implement prior to 2018 elections, and only two counties have not taken action to implement them in 2018.

## **Enhancing cybersecurity**

Secretary Pate and his staff take cybersecurity very seriously. Several steps were taken to enhance elections cybersecurity in 2017. The Secretary's Elections Division attended classes and briefings on the subject. Programming changes were made for more secure access to the IVoters system, and to protect personally identifiable information in voter records. The Secretary's Office implemented encryption of data and hard drives for electronic poll books. Secretary Pate also partnered with the U.S. Department of Homeland Security and the Office of the Chief Information Officer of Iowa to monitor our network security. Secretary Pate mandates cybersecurity training for all SOS staff and offered free online cybersecurity training to all county elections staff across the state. So far, 138 elections staffers from 42 counties have participated in the training.

## **Libertarian Party obtains official political party status**

The Libertarian Party of Iowa applied for status as an official political party in Iowa and became effective on March 1, 2017. They will hold their first ever primary election in 2018.

## **National Voter Registration Act/Help America Vote Act**

The Secretary of State is designated as the Chief State Election Official for purposes of administering federal election law, such as the National Voter Registration Act (NVRA) and the Help America Vote Act (HAVA). In that role, the Secretary continued implementation and review of the NVRA to ensure that all eligible Iowans are provided the opportunity to register to vote.

## **State Election Administrators Training (SEAT)**

The Secretary of State, along with the Iowa State Association of County Auditors (ISACA) as part of the 28E partnership, collaborated to provide training to county election officials. SEAT is a certification process for Iowa election administrators. This year included six days of instruction for 67 new graduates.

## **Statewide Voter Registration System (IVoters)**

The Iowa Secretary of State's Office continues its third-party vendor contract with Arikkan, to maintain IVoters, the statewide voter registration system and the election night reporting program. The Elections Division worked with counties to conduct annual voter list maintenance, including the National Change of Address program and cross-state match. We also provided state and federal court systems a pool of registered voters to potentially serve as jurors in district, state, and federal court. Programming changes were made for more secure access to IVoters and to protect personally identifiable information in voter records.

## **Safe at Home**

The Safe at Home (SAH) program continued helping Iowans to regain a sense of normalcy and shield them from harm. SAH is an address confidentiality program that was created to protect survivors of domestic abuse, sexual assault, trafficking, and stalking from being found by their abusers. The program provides a substitute address for all SAH participants to use instead of their actual residence address, receiving and then delivering all first-class mail to SAH participants. The SOS maintains a separate voter registration and absentee balloting database for SAH participants, which enables them to vote without exposing their physical address.

Safe at Home currently serves nearly 350 participants in 46 counties. Over the past year, the SAH staff have made over 50 presentations to various organizations and agencies. Safe at Home informational materials are on display throughout the state, including rest stops, hospitals, libraries, courthouses, and various state agencies.

## **Annexations**

The Secretary of State's office is the filing office for all city annexations that are not filed with the City Development Board. This includes annexations that are 100 percent voluntary and non-urbanized. This class of annexations is presumed to require simple ministerial approval. The Secretary of State's Office reviewed, approved and filed 77 annexations in 2017.

## **BUSINESS SERVICES DIVISION**

### **Business Entity Filings**

The Secretary of State's Office is the business portal for Iowa. Among its key responsibilities are the registration and authorization of domestic and foreign entities to transact business in Iowa, filing secured transaction lines under the Uniform Commercial Code, and commissioning Iowa Notaries Public. Our Online Business Center allows business to be conducted 24-hours a day, seven days a week.

It provides access to over three million filed documents and a complete array of forms, applications and searchable databases for businesses, lending institutions and interested citizens.

Each business day the customer service phone line receives over 200 telephone calls and emails with business services-related questions. The Office is continually seeking to improve its service delivery to citizens and the business community.

The Business Services Division houses more than 7 million electronic documents. This does not include old documents that are stored on microfilm. There are over 220,552 active business entities registered in the corporation database. Corporation filings include: articles of incorporation, articles of organization and amendments, miscellaneous filings, and statements of changes of registered agents. Most entities are also required to file a biennial report with the Office.

In 2017, the Office processed more than 200,000 transactions against the corporation database. Of those, 127,319 were biennial reports, more than 90 percent of which were filed online. The Business Services Division issued over 13,100 certificates of good standing on Iowa registered entities, accepted more than 680 original notices for service of process on Iowa registered entities, and 438 trademark-related filings.

### **Online Filings**

The Secretary of State's Office continues to move toward paperless filings, allowing immediate communication between the office and customers. The Secretary's goal is for the office to function at the speed of business, not the speed of government.

### **2017 Filing Transactions**

UCC Certified Lien Reports	188,363
Filings	125,267
Corporate Transactions	200,652
Original Notices	682
Certificates of Good Standing	13,181
Notary Renewals	12,933
New Notaries	6,023
Apostilles & Notary Certifications	2,717
<b>TOTAL</b>	<b>549,818</b>

### **Uniform Commercial Code (UCC)**

The Business Services Division is responsible for filing and maintaining lien records under the Uniform Commercial Code. The Office currently maintains 1,027,369 in our UCC database. The UCC filing system supports commerce by giving lenders a

central place to file notices regarding personal property pledges as collateral for loans.

Examples include liens on: farm equipment and machinery, personal property, manufacturing equipment, inventory, crops, and livestock. Additionally, the Business Services Division files federal tax liens and other federal liens.

In 2017, the Division filed 125,267 documents, provided 188,363 certified lien search reports, and supplied thousands of copies of filed documents to customers. Virtually all certified searches and 95 percent of all UCC filings are done online by customers.

### **Notary Public Commissions**

The Business Services Division is responsible for commissioning Iowa notaries. A notary is a person who serves the public as an impartial and unbiased witness by identifying persons who come before the notary. They are especially critical to the legal, business, financial and real estate communities of Iowa. The most common function of a notary is to witness and attest that a person signing a document is who they claim to be.

The Secretary of State's Office maintains a database of approximately 59,477 active notaries, which most often require renewal at three-year intervals. In 2017, the Office renewed 12,933 notaries and commissioned 6,023 new notaries.

The Division is responsible for issuing apostilles and notary certifications on documents destined for foreign countries that have been notarized by an Iowa notary. These certifications from the Secretary of State confirm that the notary is an Iowa Notary Public. The Secretary of State issues more than 6,000 of these annually.

Our IT Division rewrote the application so 90 percent of notary renewals are notified by email instead of a paper mailing. This saved the office an expense of sending out over 12,000 letters and created better avenues of communication.

### **Miscellaneous Filings**

In addition to corporations, UCC's and notaries, the Office maintains the following:

- Agricultural Reports (9H & IOB)
- Athlete Agents (9A)
- Travel Agent & Agency Registrations (9D)
- Voluntary Annexations (368)
- Land Patents (9G)
- Oaths of Office (9.3)
- Transient Merchants Registrations (9C)
- Credit Service Organizations (538A)

28E Agreements (28E)  
List of Cities Incorporated in Iowa (9.2)  
Condemnation Filings (6B & 9.2A)  
Acts of Resolutions of the General Assembly (9.1)

## **INFORMATION TECHNOLOGY DIVISION**

### **Moving State Voter Registration Database (I-VOTERS) to new data center**

The Iowa Secretary of State and Arikkan, Inc. partnered in 2017 to move the State Voter Registration Database (I-VOTERS) to a new data center. This move has transferred the system to new hardware which offered many improvements, including next generation Intrusion Protection Systems. This also eliminated the need to replace the Iowa Secretary of State's current infrastructure which would have cost more than \$1 million.

### **Moving Business Services Infrastructure to OCIO data center**

The Iowa Secretary of State's office partnered with the OCIO and OneNeck IT Solutions to move the Business Services Infrastructure to the OCIO's data center. This move significantly decreased risk associated with the Iowa Secretary of State's nearly 10-year-old hardware infrastructure. It also helped improve what was already some of the highest rated security among state agencies. Furthermore, the new infrastructure improved the Business Services Division's backup and disaster recovery systems.

### **Digitizing State Records from the 1850's**

The Secretary of State entered into an agreement with worldwide digitization expert Xerox to convert over two million microfilm and microfiche images from the 1850's to 1990's to an electronic format, to preserve Iowa's corporation records. As of September 2017, Xerox had scanned 212 trays out of the 600 trays or 848,207 images, approximately 35 percent of the assets. After further review of the remaining assets there are 270 remaining trays, or approximately 1,080,264 images that will need to be scanned. Currently the Iowa Secretary of State's office is working on procuring services to complete the scanning of the final 1,080,264 images.