



Biennial Report
July 1, 2012 - June 30, 2014

**From the Office of
Secretary of State Ross Miller**



Table of Contents



Territorial Seal of Nevada

Orion Clemens, President Lincoln's appointee as Secretary of Nevada Territory and brother of Samuel Clemens (later known as Mark Twain), presented a design for a territorial seal to the first Legislature in Carson City on October 7, 1861. The seal depicts a miner standing on a claim, leaning on a pick and holding the American flag. In the background, smoke trails to the right from the chimney of a five-stamp quartz mill.

It's believed the territorial seal was patterned after the Iowa state seal. Former state archivist Guy Rocha discovered that Orion Clemens lived and worked in Muscatine, Iowa, before moving to Nevada. Rocha believes the similarity of the two seals suggests that Clemens drew on the Iowa state seal as a model for Nevada's territorial seal.

<i>Letter from Secretary of State Ross Miller</i>	<i>i</i>
<i>Office of Secretary of State</i>	<i>ii</i>
<i>Executive Summary</i>	<i>1</i>
<i>Commercial Recordings Division</i>	<i>2</i>
<i>Nevada Business Portal</i>	<i>5</i>
<i>Elections Division</i>	<i>7</i>
<i>Securities Division</i>	<i>13</i>
<i>Notary Division</i>	<i>16</i>
<i>Customer Service</i>	<i>17</i>
<i>Living Will Lockbox</i>	<i>18</i>
<i>Domestic Partnerships</i>	<i>18</i>
<i>Operations</i>	<i>19</i>
<i>Biography of Ross Miller</i>	<i>20</i>
<i>Office Budget</i>	<i>21</i>
<i>Office Revenue</i>	<i>22</i>
<i>Contact Us</i>	<i>24</i>

Dear Fellow Nevadans:

With just a few months left in my final term as Secretary of State, I can say that I am very proud of the accomplishments and advancements we have achieved, resulting in a more efficient, transparent, and responsive government.



Ross Miller was elected to the Office of Secretary of State in 2006.

He is the youngest person ever elected to the office in Nevada.

During the eight years of my administration, my office reduced operating costs and staffing levels while at the same time expanding its divisions and responsibilities to include more services for constituents than ever before offered by the Secretary of State. While we continue to oversee the integrity of Nevada's elections, registered securities, licensing notaries public, and processing entity documents, the Secretary of State's office added the following programs and services: Living Will Lockbox; Domestic Partnerships; State Business License; SilverFlume, Nevada's Business Portal; Business License Compliance; video service provider filings; benefit corporation filings; charitable solicitation registration filings; commercial registered agent registration; notary training; and investor education and financial literacy outreach.

I came into this office a firm believer in the use of technology to advance our mission of providing quality service to all Nevadans in easily accessible ways. During my two terms, we've employed rapidly changing technology to build an online voter registration system; Aurora, Nevada's online campaign finance reporting system; My Voter File, where registered voters can update their address and download their sample ballot; SilverFlume, where entities can file their articles and annual lists; Digital Operating Agreement, free software for limited-liability companies to create and agree on terms with their partners; public databases of marriage officiants, document preparation services, and suspended notaries public; online class registration for notary training; online voter registration and voting for our military and overseas residents; and our election night results reporting website.

We also instituted major policy initiatives and ushered several groundbreaking bills through the Nevada Legislature, including digital governance, to facilitate the creation of SilverFlume and the Digital Operating Agreement; campaign finance reform; and, additional voter registration opportunities for Nevadans including those who are overseas and in the military. Our multi-jurisdictional Elections Integrity Task Force has investigated and apprehended individuals and organizations who've tried to cheat the system and ultimately failed. It's been identified by the U.S. Department of Justice as a best practice and national model for responding to elections-related incidents.

I also had the honor of overseeing the 2010 U.S. Census campaign in Nevada, which garnered an additional Congressional seat following the count. Nevada's participation in the census was the state's highest in history, and will positively impact the state's ability to access federal resources for years to come. Similarly, the statewide economic development study initiated and paid for by my office played a key role in guiding the state to a recovery from the worst recession experienced by Nevada in modern history. The study was and remains the foundation of current economic development activity.

One of the sources of my pride in these accomplishments is that although this is the end of my term, it is only the beginning for these initiatives. I believe we have built a solid foundation for the future, and created momentum for the office of the Secretary of State to be a strong partner to Nevada businesses, and a source of transparency and timely information to all Nevadans.

Finally, let me say it has been a tremendous honor to serve for eight years as Nevada's Secretary of State. I was raised with an understanding of the importance of public service, and this experience has validated that belief. I look forward to future opportunities to serve the state that has been my lifelong home.

Sincerely,

ROSS MILLER
Secretary of State

Office of Secretary of State of Nevada



State Seal of Nevada

One of the general duties of the Secretary of State, according to state statute is to “attest all the official acts and proceedings of the Governor, and affix the seal of the State, with proper attestations, to all commissions, pardons and other public instruments to which the signature of the Governor is required. A copy of these instruments must be filed in the Office of the Secretary of State.

The Second Nevada Legislature adopted provisions for a new state seal in 1866. The new design omitted the figure of the man with a flag, but retained many of the features of the 1861 territorial seal.

All but four of the Secretaries of State elected since Nevada became a state in 1964 served multiple terms. The first Nevada Secretary of State, Chauncey Noteware, served two terms. The longest serving Secretary of State was John Koontz, who served from 1947 - 1973.

By a vote of the people, term limits were imposed on the six statewide constitutional offices in 1996.

The mission of the Office of Secretary of State is to effectively and efficiently serve the public by performing its statutory duties to ensure the integrity of elections, facilitate business filings, protect consumers against securities fraud, preserve public records, and to promote public awareness and education in these and related areas.

The goals of the Office of Secretary of State are to:

- Ensure the integrity of elections and proper disclosure by candidates and elected officials through the effective administration of the state’s election laws and to advocate for change where needed;
- Encourage the development and diversification of the state’s business community by providing innovative, expeditious and cost-effective services;
- Protect consumers from investment fraud through effective regulation of the securities industry, enforcement of the securities laws, and education of the public; and
- Maintain records and information filed with the office and to make that information easily accessible at a reasonable cost.

With the advent of statehood in 1864, the Nevada Office of the Secretary of State was established as part of the state’s executive branch of government. As Nevada’s third highest-ranking constitutional officer, the Secretary of State is elected to a four-year term and limited to two terms in office.

The Secretary of State is responsible for maintaining the official records of the acts of the Nevada Legislature and of the executive branches of state government, as prescribed by law. Along with duties established by Nevada Revised Statutes, the Secretary of State is a member of the State Board of Examiners, State Board of Prison Commissioners, Tahoe Regional Planning Agency, Executive Branch Audit Committee, Board of Economic Development and Chairman of the State Records Committee.

Summary of Constitutional and Statutory Duties

- ◆ Certifies all statewide candidates and ballot questions and reports and certifies primary and general election results.
- ◆ Supervises state and local elections, and enforces state and federal election laws.
- ◆ Registers and files candidate contribution and expenditure reports.
- ◆ Registers corporations, limited partnerships, limited liability companies, limited liability partnerships, limited liability limited partnerships and business trusts.
- ◆ Registers trade names, trademarks, professional corporations and associations, and rights of publicity.
- ◆ Administers and enforces compliance with the requirements of the annual State Business License.
- ◆ Issues Video Service Provider Certificates of Authority and digital certificates.
- ◆ Records and searches Uniform Commercial Code statements and documents.
- ◆ Appoints, trains, and regulates Notaries Public.
- ◆ Administers the Confidential Address Program for victims of domestic violence.
- ◆ Regulates the state’s securities industry and enforces securities law.
- ◆ Licenses and regulates athletes’ agents.
- ◆ Administers the Living Will Lockbox, a registry of advance directives for healthcare.
- ◆ Administers the Domestic Partnership Registry.
- ◆ Operates NVSilverFlume.gov, Nevada’s Business Portal.
- ◆ Maintains a statewide Registry of Marriage Officiants.
- ◆ Registers and enforces the practices of Document Preparation Services.

Executive Summary



State Capitol of Nevada In 1875

The Secretary of State's main office is in the Capitol in Carson City.

The building was completed in 1871 and has undergone four major renovations.

The iron fence around the Capitol grounds was erected in 1875 to keep out the livestock in the area.

The State Legislature moved out of the Capitol to a new building in 1971, making Nevada one of only three states in which the legislature is separate from the Capitol.

Today, the Capitol houses the offices of the Governor, Lieutenant Governor, Secretary of State, Treasurer, and Controller.



State Capitol Today

The Secretary of State's office is committed to transparency, security, and accessibility. The Election Division strives to achieve these qualities in all of its practices. With the 2014 general election nearing, the office is making every possible effort to ensure the integrity of Nevada's election system and to provide voter registration access to all eligible Nevadans. The "Elections Center" on the Secretary of State's website (www.nvsos.gov) and the dedicated election night website (www.silverstateelection.com) provides extensive information and resources to the public. These websites have been particularly important the past few years with the spotlight on Nevada as a battleground state during the presidential elections. Online voter registration expanded to all 17 Nevada counties prior to the 2012 General Election in FY 2013. Residents can register to vote at www.registertovotenv.gov and update their address or party affiliation at nvsos.gov/votersearch.

The Securities Division continues to investigate fraudulent activities and pursue individuals flouting the law. During FY 2013 and 2014, the division filed a total of 168 criminal charges and netted more than \$50 million in revenue for the State of Nevada general fund.

Experiencing a slight increase in the number of new entity filings from FY 2013 to FY 2014 combined with aggressive compliance efforts, the Commercial Recordings Division saw annual revenue increase from \$137 million to \$138 million. The division instituted a number of changes following the 2013 legislative session, including the designation of commercial registered agents; requiring nonprofit corporations to file certain information and a financial report; accepting filings for benefit corporations; and overseeing the registration of document preparation services.

Commercial Recordings worked closely with developers of the Nevada Business Portal to launch the SilverFlume website in the beginning of FY 2013. SilverFlume acquired dozens of agency partners during FY 2013 and 2014, and soon businesses will be able to conduct all government transactions on the portal. The portal team also executed the launch of the Digital Operating Agreement in FY 2013. The first and only one of its kind in the nation, the Digital OA provides users with an electronic template for basic operating agreements and by-laws that can be adapted and filed digitally.

The Information Technology (IT) Department of the Operations Division makes many of our endeavors possible. Online voter registration completed its expansion to all 17 Nevada counties in FY 2013. The IT department continued to maintain and institute user-friendly features to Aurora, Nevada's campaign finance disclosure system. The department also built a database for registered document preparation services in a short time frame following approval from the 2013 Legislature. IT continued to make improvements to the Election Night Reporting website, www.silverstateelection.com, and to the Secretary of State's main website, www.nvsos.gov, which has an average of 100,000 of unique visitors each month.

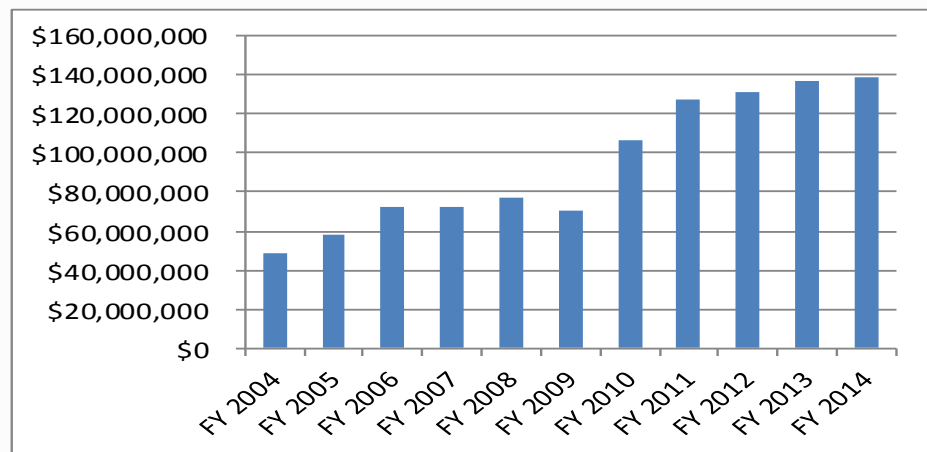
Commercial Recordings

The Commercial Recordings Division processes and files the organizational and amendatory documents of entities organized under the laws of the State of Nevada. These entities include for-profit and nonprofit corporations, limited liability companies, limited partnerships, limited liability partnerships, limited liability limited partnerships, business trusts, and professional corporations and associations. The division reviews, files and processes: (1) annual state business license; (2) trademarks, trade names, service marks, and rights of publicity; and (3) Uniform Commercial Code financing statements, changes, and lien searches, as well as federal tax liens and utility filings.

Revenue

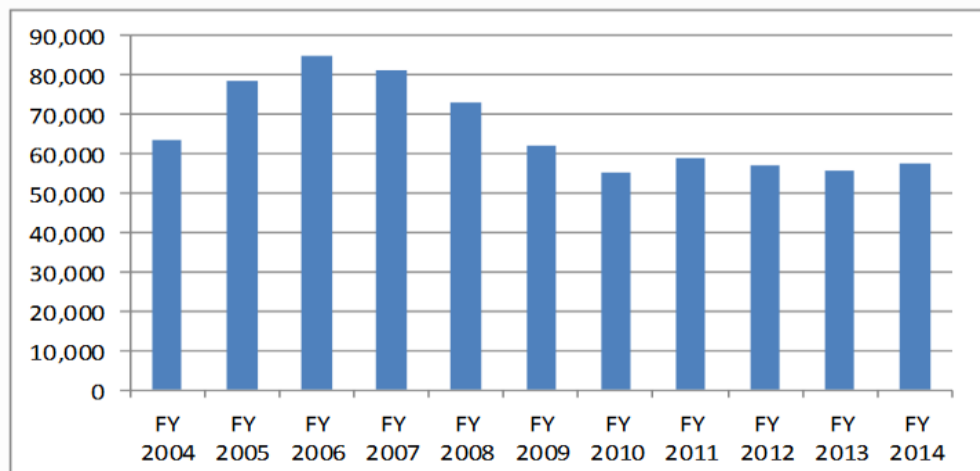
The Commercial Recordings Division generated revenue of approximately \$138.45 million during FY 14, which is a 3.5% increase from the \$133.74 million revenue generated during FY 13. The revenue increase is attributed to aggressive compliance efforts made by the Secretary of State's office. UCC receipts totaled approximately \$1.69 million during FY 13 and more than \$1.71 million during FY 14.

Revenue: Fiscal Years 2004 - 2014



Increased by 3.22% during FY 14, with 57,644 new entity filings processed versus 55,847 during FY 13. In FY 14, 303,560 initial, amended and annual lists were filed as compared to 289,847 in FY 13, an increase of 4.73%. During FY 14, 339,015 State Business Licenses were issued as compared to 320,231 in FY 13. As of June 30, 2013, more than 287,000 business entities were on file and in current standing with the Secretary of State's office. As of June 30, 2014, more than 300,000 business entities were on file and in current standing with the Secretary of State's office.

New Business Filings: Fiscal Years 2004 - 2014



State Business License »

Start a Business »

Manage a Business »

Close a Business »

UCC »

Other Services »

Resources »

Assistance »

The Nevada Advantage »

WhyNevada.com »

Nevada Digital Operating Agreement »

New Business Checklist »

Economic Development Reports and Studies »

The online Business Center at www.nvsos.gov is designed to make it easier to navigate for individuals starting a new business or trying to manage or expand an existing business.

Businesses can file these documents online:

- ✓ New or renewed state business licenses
- ✓ Initial, amended, or annual lists of officers
- ✓ Online articles of incorporation
- ✓ Certificates of Good Standing

Commercial Recordings *continued*

2013 Legislative Session

Several notable pieces of legislation pertaining to the Secretary of State's office passed during the 2013 Regular Session of the Nevada Legislature. The office repurposed existing positions within its staff to accommodate legislative changes in law and expanded compliance efforts. Since March 2013, the compliance staff brought more than 3,500 entities into compliance and collected \$1,573,889.

The passage of **Senate Bill 60** during the 2013 legislative session revises the Registered Agent Listing provisions in the Nevada Revised Statutes to ensure that registered agents representing Nevada entities have not been convicted of or otherwise disciplined for activities containing an element of fraud or deception.

Under SB 60, registered agents who represent 10 or more Nevada entities or Nevada Qualified foreign entities are now considered commercial registered agents (CRA), and effective October 1, 2013 must register as such.. In addition to the information that is already required, CRAs must include the following in their Commercial Registered Agent Registration Statement:

The name, address, and telephone number of the individual who has the authority to act on behalf of the CRA.

A statement from the individual registering as a CRA, or that each director, officer or managing agent of a commercial registered agent has not been convicted of a felony. If the individual has been convicted of a felony, a statement that the individual has had his or her civil rights restored.

A statement that the CRA has not had his or her ability to serve as a CRA, or a director, officer or managing agent of a CRA denied or revoked by appropriate authority of this state or another state, or enjoined by a court of competent jurisdiction from serving as a registered agent because the individual engaged in conduct as a registered agent that was intended to or likely to deceive or defraud the public.

The \$75 registration fee for a commercial registered agent was eliminated since the designation is no longer optional.

In an effort to better inform the public and reduce instances of fraud, **Assembly Bill 60** requires Chapter 82 nonprofit corporations which intend to solicit tax-deductible charitable contributions in Nevada to file the following information and a financial report with the Secretary of State:

- Name as registered with the IRS
- Federal Tax Identification Number and tax status
- Name(s), if different from legal entity name, under which it will be soliciting tax deductible contributions
- Name and address of executive staff, if applicable

Financial information from IRS Form 990

The corporation must file this information at the time it files its list of officers annually and is part of the public record posted on the SOS website. AB 60 also requires any nonprofit corporation to make certain disclosures when soliciting any contributions, whether or not the donation is tax-deductible. Entities that fail to comply with the filing or solicitation disclosure requirements may be subject to fines and penalties for violations. Current law already makes it a crime for someone to make false, deceiving and misleading claims in soliciting contributions.

Commercial Recordings continued

Assembly Bill 89 established a new type of business entity, a benefit corporation or B-Corp. A benefit corporation is a new corporate form designed to allow for-profit entities to consider the society and environment in addition to profit in their decision-making process. Benefit corporations differ from traditional corporations in regard to their purpose, accountability and transparency.

AB 89 authorizes a benefit corporation to identify in its articles of incorporation one or more specific public benefits as an additional purpose of the benefit corporation. Such specific public benefits include, without limitation, providing low-income or underserved individuals or communities with beneficial products or services; preserving the environment; improving human health and promoting the arts, sciences or the advancement of knowledge.

Assembly Bill 74 established the law and regulations of NRS Chapter 240A for document preparation services. A document preparation service is a person who, for compensation and at the direction of a client, provides assistance to the client in a legal matter, including:

- Preparing or completing any pleading, application or other document for the client,
- Translating the client's answer to a question posed in such a document,
- Securing any supporting document, such as a birth certificate, required in connection with the legal matter,

Submitting a completed document on behalf of the client to a court or administrative agency.

AB 74 was passed to prevent such activity, and to regulate businesses providing document preparation services in order to protect consumers. The law provides the Secretary of State's office, along with the Attorney General's office, with statutory authority for enforcement. If a violation is found, the Secretary of State's office can revoke or suspend an individual's registration, and/or impose civil and/or criminal penalties.

Nevada Business Portal

With SilverFlume, Nevada's Business Portal, companies have now filed more than 650,000 transactions for government services, such as state business licenses, sales & use tax permits, Workers' Compensation eAffirmation of Compliance (D-25), OSHA and Nevada Labor Laws compliance confirmations, and conduct other business-related services at www.nvsilverflume.gov. Since its launch in 2012, SilverFlume has passed through more than \$142 million in revenue. SilverFlume also includes a FREE Digital Operating Agreement (OA) for LLCs at www.nvsilverflume.gov/digitaloa. The Digital OA realizes the potential of corporate formation adapted to the digital realm – a corporate environment where entrepreneurs and collaborators can come together virtually to conduct business with the confidentiality and other benefits of a traditional LLC. It removes obstacles and associated overhead costs of starting an LLC, including legal expenses, paper filings, physical headquarters, and expenses related to annual meetings.

In addition to streamlining the paper work for customers, SilverFlume also provides free web-based reporting to multiple agencies, including the Governor's Office of Economic Development, to view baseline data for new businesses to support registration, licensing, and economic development purposes. The Common Business Registration report has the capability to streamline manual process steps across state and local agencies for the business customer at no cost to the agency and with no technical integration. SilverFlume now offers a no-cost way for agencies to integrate business-related processes into the one-stop shop without technical integration. SilverFlume continues to support full technical integration for those agencies that would like a fully streamlined business registration process.



SilverFlume was released to the general public in August 2012 and continues to expand its services, including the following:

- New Business Checklist: Want to set up a Nevada business but don't know how?
- Reserve an Entity Name
- File Articles of Organization or Incorporation
- File Initial List
- Get a State Business License
- Create Common Business Registration
- File Nevada Labor Laws eAffirmation of Compliance
- File Workers' Compensation / eAffirmation of Compliance
- OSHA - Safety Consultation and Training Section (SCATS)
- File for Sales and Use Permit and/or Obtain eClearance Letter
- DMV Permit to Non-Resident Business Vehicles
- Required Postings for Nevada Employers
- File Annual List and/or State Business License
- File Amended List
- Order a Certificate of Good Standing
- Update Common Business Registration
- City of Fernley Business License Renewal
- Town of Tonopah Business License Renewal

Access other business resources with the Nevada Secretary of State, Department of Taxation, Business & Industry, Governor's Office of Economic Development, regulatory agencies, and more.

By the end of FY13-14, 39 state regulatory agencies joined SilverFlume to assist customers to understand regulatory requirements when setting up a business. Eleven local agencies and nine state agencies elected to access Common Business Registration data from SilverFlume to ease the filing process for customers. Future phases of SilverFlume will focus on continuing to simplify the business customer's registration steps and provide common business data across agency silos to ensure consistent revenue capture.



Passage of Assembly Bill 564 during the 2011 Legislature introduced Digital Corporate Governance (DCG), a corporate environment where entrepreneurs and collaborators come together virtually to conduct business and enjoy the privacy and other benefits of a traditional corporation, but with no paper filings, physical headquarters, or boardroom meetings.

The state modified cutting-edge software developed by Harvard's Berkman Center for Internet & Society, with support from the Ewing Marion Kauffman Foundation, to allow companies to prepare LLC documents. The Digital

Operating Agreement provides users with an electronic template for basic operating agreements and by-laws that can be adapted and filed digitally. Officers and directors can provide written consent to adopt operating agreements and by-laws in an electronic format. Digital Operating Agreement software allows limited-liability companies to conduct corporate communication through the most recent technology available and for certain non-profit board of directors to conduct meetings electronically through simultaneous or sequential communication channels such as instant messaging. Harvard and the Kaufmann Foundation have no responsibility or liability for the software. A six-minute video describes the impetus for the project: <http://www.youtube.com/watch?v=j7OwxAVkYlo&feature=youtu.be>.

Elections

1,169,337

Number of Active
Registered Voters in
Nevada
as of June 30, 2014

41%

Democrats

35%

Republicans

18%

Non-Partisan

80.81%

Voter turnout in
2012 General Election

Nevada Caucuses

Nevada has used the caucus process to choose Presidential candidates for nearly 60 years, but also experimented with "Presidential Preference Primary" elections in 1976 and 1980. In 1996, the two major parties were given the option of selecting their Presidential nominee by a primary vote at the state's expense; the state GOP chose that option.

The experiment failed to produce the increased voter interest that had been hoped for, so legislators let the option die.

The Nevada caucuses drew far more attention than usual in 2008 because they were moved to an earlier date on the election calendar and so were considered much more important in generating momentum for the leading candidates.

Nevada remains one of just 13 states that choose their presidential candidates by the caucus process rather than a primary election.

The Secretary of State is the Chief Elections Officer for the State of Nevada. Through the Elections Division, the Secretary of State assists in the administration of the State's elections, enforces state and federal election laws, and provides technical information.

The Elections Division oversees candidate filings, prepares forms and documents, recommends legislation and regulations relevant to the electoral process, responds to election-related complaints, and provides information to the public regarding candidates and elections. The division publishes informational election materials that are available to the public at no charge. These publications include: ***Election Information Guide, Initiative and Referendum Guide, Minor Party Qualification Guide, Recall Information Guide, Independent Candidate Guide, Title 24 Election Laws*** and ***Election Regulations***.

Monthly voter registration statistics are published on www.nvsos.gov.

2014 PRIMARY ELECTION

The June 12, 2014 recorded one of the lowest voter turnout percentages in recent history. Of the 1,153,002 active registered voters, a total of 222,240 voters, or 19.25%, turned out during early voting and on Election Day.

The Republican primary ballot featured a number of closely watched races. State Senator Mark Hutchison and former State Senator Sue Lowden battled it out for the lieutenant governor's race, with Hutchison garnering 53.76% of the vote and moving forward to the general election. Others advancing to the November General election include Assemblyman Crescent Hardy who won with 42.63% of the vote for U.S. Representative, Congressional District 4; State Senate, District 9, won by Becky Harris with 50.26% of the vote; State Senate, District 20, won by incumbent Michael Roberson with 58.54% of the vote; and State Assembly, District 39, won by incumbent Jim Wheeler with 62.73% of the vote. High-profile nonpartisan races included the 19 candidates for Mayor of Reno and nine candidates for the Clark County Sheriff.

While turnout was low, it was marginally higher than the primary in 2012, which saw 199,797 of 1,058,808 active registered voters, or 18.87%, turn out at the polls.

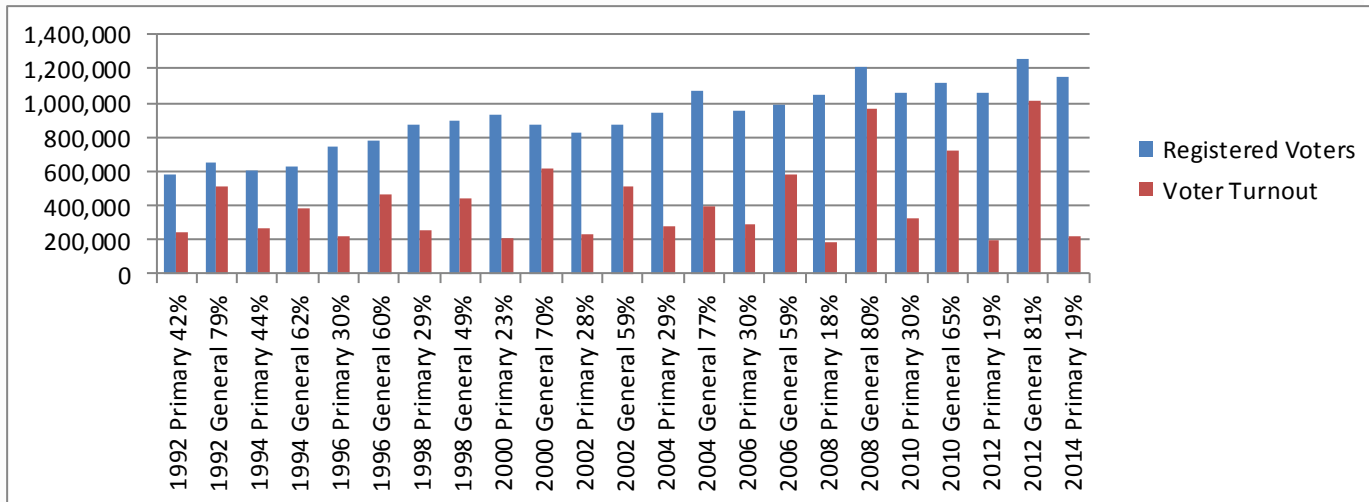
2012 GENERAL ELECTION

As a battleground state, Nevada once again received national attention during the 2012 general election when President Barack Obama vied for re-election against presidential hopeful Mitt Romney. President Obama received Nevada's electoral college votes after he won the popular vote by 52.36% compared to Romney's 45.68%.

Nevadans also elected Republican Dean Heller by little more than 1% to retain the U.S. Senate seat to which he was appointed over Democrat Shelley Berkley. More than one million voters cast ballots in the 2012 general election, an all-time record high turnout for the Silver State. Of the 1,257,621 active registered voters, a total of 1,013,195 voters, or 80.56%, turned out during early voting and

on Election Day. Once again, Nevada's early voting option continued to be the most popular choice for Nevadans to cast their ballots in 2012.

The following graph demonstrates the voter turnout of the 2012 General Election compared to previous elections in Nevada:



Secretary of State Ross Miller visits the Windmill Library in Clark County on National Voter Registration Day, September 25, in 2012 to encourage Nevadans to register or update their voter information before the 2012 general election.

THE ELECTION INTEGRITY TASK FORCE

Established in 2008 by Secretary Miller, the Election Integrity Task Force (EITF) is a multi-jurisdictional task force comprised of the Secretary of State's Office, the Nevada Attorney General's Office, Federal Bureau of Investigation, and the United States' Attorney's Office. EITF investigates complaints regarding questionable voter registration practices, potential voter fraud, and the enforcement of laws regarding voter intimidation. The Federal Bureau of Investigation and the Department of Justice has identified EITF as a national model for responding to election-related complaints.

During the 2012 General Election, the task force responded to allegations of voting machine irregularities; investigations concluded that no tampering of machines had occurred. Any trouble reported was due to operator error and uncoordinated machine screens, and it was found that every voter was given the opportunity to cast a vote for the candidate of their choice.

Elections *continued*

EITF agents arrested a Southern Nevada woman charged with attempting to vote twice in the presidential election. Roxanne Rubin early voted in the 2012 General Election at a polling station in Clark County. Later the same day she appeared at a different Clark County polling station and attempted to vote a second time. The poll worker conducted a routine computer database search which indicated that Rubin had already voted and informed her of this. Rubin responded that she had not already voted, but a search of the computer database reconfirmed that she had already voted at a different polling place. Poll workers did not allow Rubin to vote and reported the incident to the Clark

County Registrar's office, which notified the Secretary of State's office. Rubin was taken to the Clark County Detention Center, and charged with one count of voting more than once in the same election, a Category "D" felony.



EITF also worked on a case in FY 14 involving an undocumented immigrant who registered to vote under a false name and cast ballots in the 2008 and 2010 Nevada elections. Ortencia Segura Segura was charged with one count of an act concerning registration of voters and one count of possession of personal identifying information for the purpose of establishing false status and/or identity. She pleaded guilty to willfully and unlawfully giving a false answer to the Washoe County Registrar of Voters and falsifying her application to register to vote.



Members of the Election Integrity Task Force closely monitored the 2012 general election from its headquarters and were ready to respond to any issues or abnormalities.

2013 LEGISLATIVE SESSION

The Secretary of State's Elections Division introduced Assembly Bill 48 during the 2013 legislative session, and it was approved and signed into law. AB 48 primarily makes technical corrections to Chapters 293 (election administration) and 294A (campaign finance) to clean up the chapters and remove duplicative provisions. The changes to Chapter 294A shorten and simplify the campaign finance chapter for those who spend money on Nevada's elections and have disclosure requirements. AB 48 also adds contributions & expenses (C&E) reporting requirements prior to special elections to ensure the same level of disclosure as for primary and general elections. The changes increase the reporting threshold for those making independent expenditures and other groups (PACs, political parties, etc.). Changes regarding threshold requirements are in response to concerns the Secretary of State's office has heard over the years from persons and groups that spend very little money during our elections and are not readily familiar with Nevada's campaign finance laws, yet still required to go through the steps to file C&E Reports.

AB 48 also extends online voter registration to coincide with the in-person deadline – adding 10 more days for Nevada's citizens to register to vote online prior to an election. Nevada's registration deadlines are some of the most onerous in the country. The change in AB 48 is a short, but significant, expansion of the period of time to register to vote online.

HELP AMERICA VOTE ACT

The *Help America Vote Act of 2002* (HAVA) was enacted by Congress and signed into law on October 29, 2002. HAVA was a response to the irregularities in voting systems and processes unveiled during the 2000 Presidential Election. To address these irregularities, HAVA provided federal funding to the states to implement a statewide voter registration system, replace punch card voting machines, improve voter education and poll worker training, require provisional ballots, and require at least one voting machine per polling place be available to voters with disabilities. To be eligible to receive HAVA funding, each state is required to submit a state plan to the federal government that serves as a blueprint for that state in meeting the ambitious timelines and requirements contained within the act.

Since 2004, Nevada has received approximately \$23 million in federal funds from HAVA. For more information on HAVA and the Nevada State Plan, visit the Election Center of the Secretary of State's website, www.nvsos.gov. As of the end of FY 2014, Nevada's HAVA balance is \$2.5 million and at this time, the federal government has not authorized any new payments to assist the states in meeting the requirements of HAVA.

MILITARY AND OVERSEAS VOTERS

Nevada has been a leader in enhancing access to military and overseas voters and their families. In July 2012, the Military Voter Protection (MVP) Project named Nevada one of 15 All-Star states for taking significant efforts to promote and protect the voting rights of America's military service members and their families. Secretary of State Miller traveled as a member of a delegation sponsored by the U.S. Department of Defense and the Federal Voting Assistance Program (FVAP) to the Middle East in September 2012 to gain first-hand knowledge of military and overseas voting issues. Miller and four fellow Secretaries of State met with U.S. officials in Kuwait and Qatar to discuss voter outreach efforts for U.S. citizens living abroad and collaboration to resolve barriers to voting. The trip also included a tour and an extensive presentation of a U.S. Army Post Office to learn how military ballots are processed and transported. Following the trip, the delegation developed a report of findings and recommendations for improving our current processes for military and overseas voters.

The Secretary of State's office also implemented a program for voters to honor veterans and active duty service members. The "I Vote to Honor a Service Member" program recognizes the service and dedication of the women and men of the United States Armed Forces by encouraging Nevada voters to cast their ballots in honor of the service member of their choice. Participants submit a message on an application form and receive a limited edition lapel pin with the "I Vote to Honor a Service Member" logo. Messages are published on a special testimonial section of the Secretary of State's website.



Secretary of State Ross Miller, left, toured an U.S. Army Post Office during a 2012 trip to Kuwait and Qatar sponsored by the U.S. Department of Defense to gain first-hand knowledge of military and overseas voting issues.

Elections *continued*

In 2013, Nevada became one of only five recipients to receive a grant from the Federal Voting Assistance Program (FVAP) for the development and implementation of an Effective Absentee Systems for Elections 2 (EASE 2) program. The \$386,500 grant is being used to design and develop an application that will allow military and overseas voters to access their blank absent ballot online beginning with the 2014 General Election. The EASE 2 grant fund two research areas: (i) the development and effect of online blank ballot delivery tools; and (ii) the establishment and effect of a single point of contact in a state election office for the transmission of election materials.

Nevada's rate of rejected military and overseas ballots fell by more than 8.5 percent from the 2008 to 2012 elections, and Nevada had the third-largest drop – almost 20 percentage points – in the rate of unreturned military and overseas ballots, according to PEW Charitable Trusts' Election Performance Index (EPI) study released in FY 2013. The study also showed that Nevada was one of only seven states to raise its overall EPI average by more than 10 percentage points from 2008 to 2012, our ranking leaping from 22nd to 5th in the nation.

STATEWIDE VOTER REGISTRATION SYSTEM

HAVA mandates all states to have a single, uniform, official, centralized, interactive computerized statewide voter registration list to serve as the single system for storing and managing the official list of registered voters throughout the state. Nevada's statewide voter registration system (NevVoter) is maintained by the Secretary of State's office, and became operational in the spring of 2006.

Eligible citizens register to vote with their respective County Clerk or Registrar of Voters, and the County Clerks and Registrars of Voters upload their voter registration files to the system nightly. The NevVoter system electronically sends the voter registration records for verification against the Department of Motor Vehicles' and the Department of Vital Statistics' databases to identify those persons who may potentially be ineligible to vote according to federal and state law. Upon successful verification of the voter, the person is then added to the eligible voter list in the NevVoter system.

	Active Registered Voters	Democrats	Republicans	Nonpartisans
FY 2013	1,260,389	42%	34%	18%
FY 2014	1,169,377	41%	35%	18%

NEVADA ONLINE VOTER REGISTRATION “NOVA”

In September of 2012, the Secretary of State's office expanded online voter registration statewide for both new voter registrations and updates. New voters in all counties with a driver's license or DMV issued identification card now have the ability to register completely online. The registrant's information is verified immediately with the DMV, and signature is presented electronically for verification. Once the registrant has successfully registered, local county election officials will mail the new registrant their voter registration card. By the end of FY 13, 50,691 new voter registration applications and 28,459 updates were processed through NOVA. By the end of FY 14, 56,271 new voter registration applications and 37,117 updates were processed through NOVA at www.registertovotenv.gov.

Nevada became the second state in the nation to provide a voter registration Facebook application for its residents. The app is available on the Secretary of State's fan page at www.facebook.com/NVSOS, or directly at apps.facebook.com/nvsosnova. The Secretary of State's IT Division created the secure and convenient application with the intent of capturing unregistered voters on the world's largest social

network. The app provides one-click access to the online voter registration system without the user ever leaving Facebook.

2012 MOCK ELECTION

More than 35,000 students across Nevada cast their vote in the 2012 mock election. Most schools voted via the Youth Leadership Initiative Mock Election website, which recognized Nevada as one of top voting states. The voting portion of the program was designed to be as close as possible to a real election, complete with voter registration requirements, roster books, and polling locations. Students voted for federal offices and issues of statewide and national importance. The mock election results mirrored the results of the official election for President Barack Obama, House of Representatives members Dina Titus, Mark Amodei, and Steven Horsford.

ADVISORY COMMITTEE ON PARTICIPATORY DEMOCRACY

The Advisory Committee on Participatory Democracy (ACPD) was first established in 1997 by the Legislature under the office of the Department of Cultural Affairs. The ACPD consists of 10 members including the Secretary of State or his designee and nine other members appointed by the Secretary of State. The Committee's purpose is to assist the Secretary of State in identifying and proposing programs that promote citizen participation in governance, establishing a Jean Ford Democracy Award and working with partner organizations at the local, state and national level to increase voter participation.

The ACPD selected eight winners for two awards promoting participatory democracy in 2013 – the Jean Ford Democracy Award and the National Association of Secretaries of State (NASS) Medallion Award. The Jean Ford Democracy Award recipients were Steven Parker, Ph.D. and Deborah Berger for Educator, teacher or administrator any level K-16); Shane Piccinini and Rozita Lee for Community Individual; and David Byerman for Elected and/or Government Employee (local or state. The NASS Medallion Award recipients were Mi Familia Vota for Elections; Our Story, Inc. for Civic Engagement; and MGM Resorts Foundation's International Philanthropy Program for Philanthropic contribution. All were honored during the 2013 legislative session on Democracy Day, May 23.

Securities

Top Ten Investor Traps

Products

Exchange-Traded Funds

Foreign Exchange Trading Schemes

Gold & Precious Metals

“Green” Schemes

Life Settlement Investments

Oil & Gas Schemes

Practices

Affinity Fraud

Undisclosed Conflicts of Interest

“Private” or “Special” Deals

“Off the books” deals

The Securities Division is responsible for administering the state’s securities law. The Division’s mission is to protect Nevada investors from securities fraud by licensing investment professionals, registering securities offerings, enforcing the state’s securities law, and educating the public through community forums, presentations and the distribution of publications.

In addition to performing securities investigations, the Division’s criminal investigators also conduct corporate filing and election fraud related investigations in their capacity as sworn peace officers.

The Division recorded annual revenue of \$24,605,321.00 in FY 2013 and \$25,947,111.00 in FY 14. These revenues were derived from licensing, registration, inspection and miscellaneous fees, and do not include monies paid as civil fines and penalties which are discussed below.

LICENSING

Nevada law requires that athletes’ agents, transfer agents and any person engaging in the offer or sale of securities, or who provides investment advice for compensation, to be licensed with the Nevada Securities Division. As of June 28, 2012, individuals conducting business as an investment advisor with more than \$100 million in assets under management must register with the Securities and Exchange Commission (SEC) as a Federal Covered Adviser. Individuals conducting business in the state of Nevada with less than \$100 million in assets under management must register with the Division. A representative of a Federal Covered Adviser with a place of business in Nevada must be licensed by the Division or exempt from licensing.

REGISTRATION

Companies seeking to offer securities for sale in the State of Nevada must register their offerings with the Division, or comply with an exemption from registration in the Securities Act.

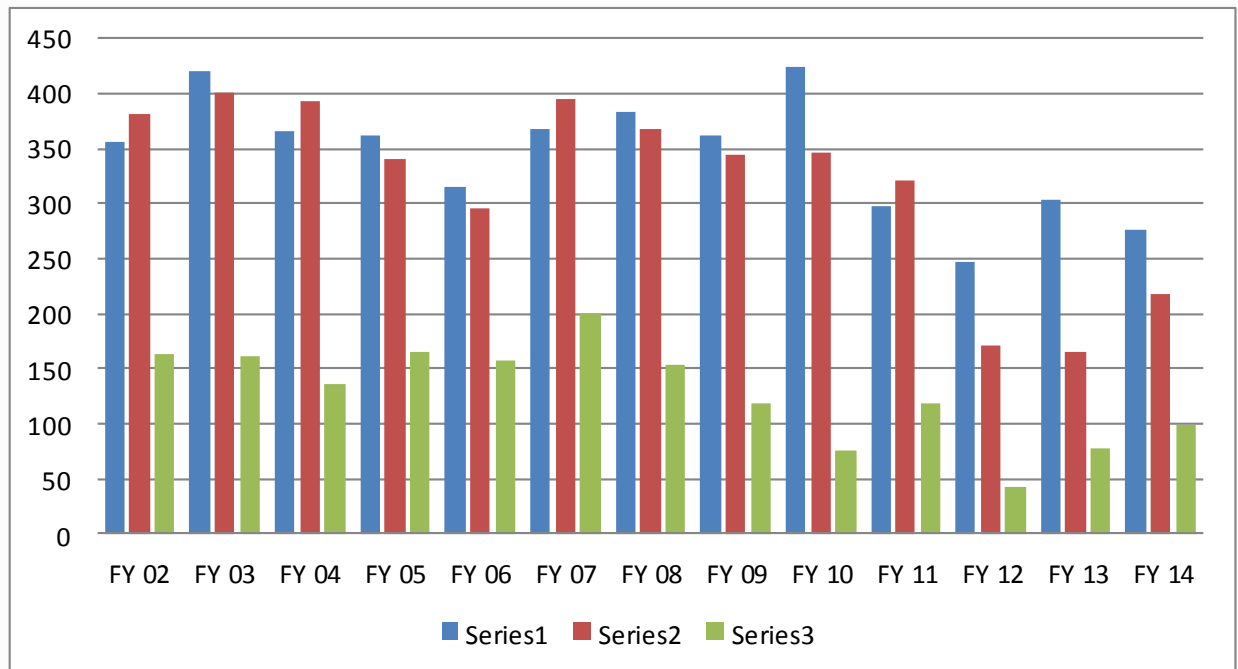
Licensing and Registration Statistics: Fiscal Years 2007-2014

FISCAL YEAR END	2007	2008	2009	2010	2011	2012	2013	2014
Broker-Dealers	2,083	2,124	1,922	1,903	1,906	1,851	1,787	1,758
Total Investment Advisers	1,228	1,375	1,244	1,274	1,364	1,405	3,693	3,922
Sales Representatives	100,919	104,643	108,828	110,195	139,240	144,037	124,573	130,109
Investment Adviser Reps	2,790	2,942	3,141	3,128	4,235	4,254	1,345	1,392
Athletes' Agents	15	13	7	10	13	10	11	26
Agents of Issuer	111	99	82	67	129	113	72	80
Branch Offices	1,575	1,670	1,370	1,344	1,367	1,240	1,182	1,213
Registrations*	5,029	5,161	99	87	92	120	99	107
Exemption Filings*	4,274	4,544	9,035	8,782	9,386	9,573	9,761	10,410

*Note: FY 2007 and 2008 reported notice filings combined with registrations. Since notice filings are actually exemptions that should be in the exemption filings category, commencing in FY 2009 notice filings are categorized as exemption filings.

ENFORCEMENT

Cases and Investigations: Fiscal Years 2002-2014



Enforcement Statistics: Fiscal Years 2013-2014

	FY 2013	FY 14
Active cases at the start of FY	318	462
Cases opened	304	276
Cases pending at the end of FY	461	515
Criminal convictions	5	6
Criminal charges	104	64
Restitution ordered to be paid to victims	\$7,651,656.75	\$2,324,426.96
Restitution collected	\$2,481.38	\$54,000
License revocations / Orders denying licensing / Suspension of licensing	7	4
Consent orders	27	14
Cease and desist orders	4	3
Civil penalties collected for investors	\$227,204.13	\$259,734.87
Restitution recovered	\$84,549.00	\$0
Number of inspections	78	98
Inspection fees collected and regulatory investigation costs recovered	\$14,791.39	\$55,609.46
Annual revenue	\$24,605,321.00	\$25,947,111.00

The Securities Division conducts routine and for-cause periodic inspections of Nevada's broker-dealers and investment advisors in order to ensure compliance with the statutory requirements for conducting a securities business in the state of Nevada. Division investigators also review the securities firms' procedures for compliance with SEC rules and the FINRA Conduct Rules.

In order to ensure the Division employees are prepared in the performance of their duties, investigators and other staff members participated in various training programs offered by the National Criminal Information Center (NCIC), the North American Securities Administrators Association, and other law enforcement agencies.

ATHLETES' AGENTS

The Nevada State Legislature adopted the Uniform Athlete's Agents Act during the 2001 legislative session. The Act defines an Athlete's Agent as anyone who enters into a contract of agency with a student athlete, or directly or indirectly recruits or solicits a student to enter into such a contract. At the close of FY 2013, 11 agents were registered or renewed their license. At the close of FY 2014, 26 agents were registered or renewed their license.

INVESTOR EDUCATION AND PUBLIC OUTREACH

The Secretary of State's Securities Division funds investor education programs and materials through fines and penalties collected against individuals and firms found to have violated securities laws. Staff made several community presentations concerning the detection and avoidance of fraudulent investment schemes. Additionally, the Division publishes several informative brochures and other materials that are available on the agency's website (nvsos.gov), or by calling the Division at 1-800-758-6440 or 1-702-486-2440.

Working with resources provided by the Investor Protection Trust (IPT), the Secretary of State distributes a series of seven booklets covering various aspects of investor education, as well as a full curriculum with unit and lesson plans titled "The Basics of Savings" which is distributed to high schools throughout the state.

Through a partnership with Visa, the Secretary of State's office distributes free copies of interactive money management video games "Financial Football" and "Financial Soccer" to every school district in Nevada who requests them.



Attendees of the Las Vegas Latin Chamber of Commerce's "La Oportunidad Expo" were treated to copies of Visa's "Financial Soccer" game.

2013 LEGISLATIVE SESSION

During the 2013 Legislature, Securities steered the passage of Senate Bill 28, which prohibits the unethical or dishonest practice in the securities business of utilizing certain "senior designation" certifications, as well as other unethical conduct. Effective July 1, 2013, SB 28 also modifies the information that may be considered during licensing proceedings, and makes it a specific violation of Nevada securities laws to provide any materially false, fraudulent or fictitious statement during an investigation.

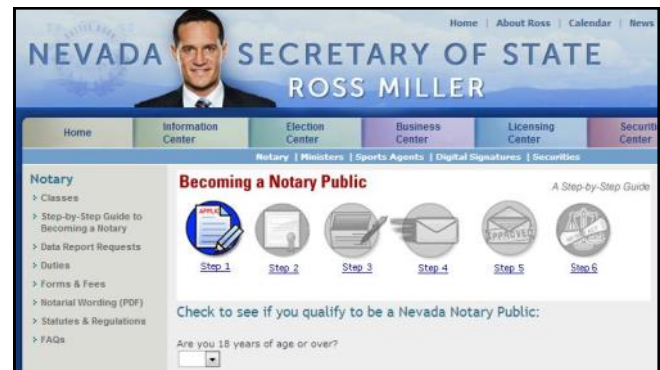
Notary

The Notary Division offers regularly monthly scheduled four-hour training classes statewide, pursuant to NRS 240.018, for the following individuals:

- Anyone applying to be a notary public for the first time;
- Anyone renewing their appointment as a notary public, if their appointment as a notary public has expired for a period greater than 1 year; or
- Anyone renewing an appointment as a notary public, who, if during preceding 4 years has been fined for failing to comply with a statute or regulation of the State of Nevada.

The division holds in-house training course upon request for businesses or groups with 50 or more notaries public on staff. More than 4,140 people participated in the training program and 7,334 individuals were appointed notaries in FY 2013. In FY 2014, 4,026 people participated in the training program and 6,299 individuals were appointed notaries.

Improvements are being made continually to the instructional program, which now includes an interactive work section that allows notaries public to view examples of commonly notarized documents and to practice proper notarization techniques under the supervision of Notary Division staff.



Information on how to become a notary of the public is available in the Licensing Center at www.nvsos.gov.

APOSTILLES

The Notary Division is also responsible for providing authentication of notary signatures, known as apostilles or certifications, which are typically used to authenticate documents to be presented in foreign countries. Apostilles and certifications can only be issued by the Secretary of State's office. The numbers of apostilles issued annually by the Notary Division were 15,581 in FY 13 and 15,510 in FY 14.

NOTARY ENFORCEMENT & FINES

The Secretary of State's office is charged with ensuring compliance and imposing fines for violations of NRS Chapter 240. The average fine for a notary who does not follow correct statutory procedures is \$200. Infractions such as failure to maintain a notary journal, a legal requirement since 1864, or notarizing the signature of a document signer who does not appear in-person are both subject to maximum fines of \$2,000. In FY 2013, fines collected by the Notary Division totaled \$41,561. In FY 2014, fines collected by the Notary Division totaled \$18,179.00.

MARRIAGE OFFICIANTS DATABASE

The Secretary of State's office maintains a statewide database of marriage officiants authorized by county clerks. County clerks can track marriage officiants licensed not only in their respective county but also view marriage officiants licensed in other counties. The database also provides a public search function so citizens can locate a licensed marriage officiant or verify that a person is a licensed marriage officiant. Recent legislative changes enable a notary public appointed by the Secretary of State and in good standing may apply to become a licensed marriage officiant pursuant to NRS 122.

Did You Know...?

The State of Nevada sets the fees notaries can charge their clients for services.

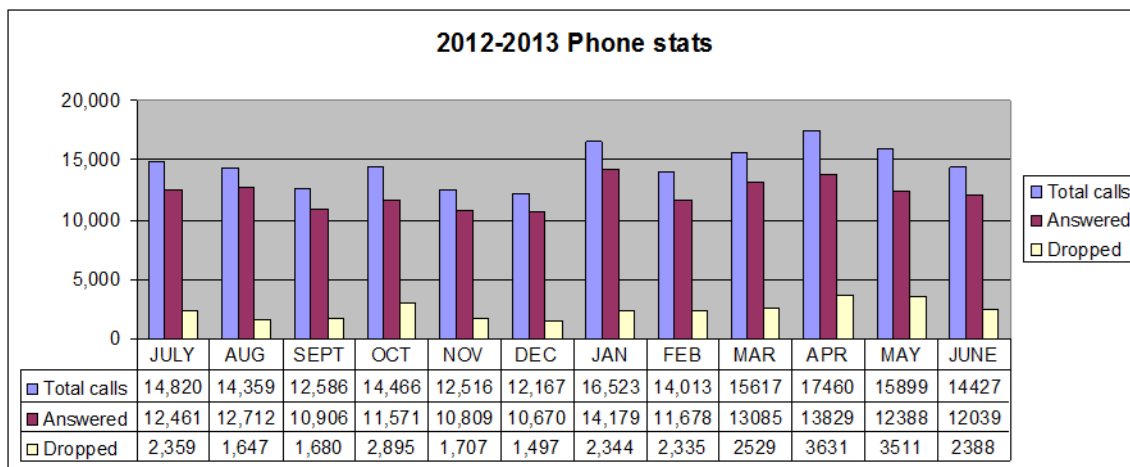
Notaries who charge fees must inform clients of the cost of the service, which is \$2.50 or \$5.00 depending on the type of document.

Customer Service

The Customer Service Division provides assistance to the general public, businesses, law firms, and other government agencies in a variety of forms including, in person, by telephone, email or written requests from both the Carson City and Las Vegas offices.

Customer Service representatives are trained to assist customers with information in a wide variety of areas, including navigating the website and online filing processes, filing entities, fees and obtaining forms, answering questions with general information and responding to complex inquiries and concerns. The division also answers general questions about the Notary and Election Divisions or directs customers to the appropriate division within the agency. Although customer service representatives are prohibited by law to give legal advice, staff is trained to direct customers to specific Nevada Revised Statutes that may address their issues.

On daily basis, representatives answer about 750 calls and 100 email inquiries. The Las Vegas office assists an average of 25 walk-in customers on a daily basis. The Customer Service Division strives to give the best possible service to our customers in a professional, courteous and knowledgeable manner.

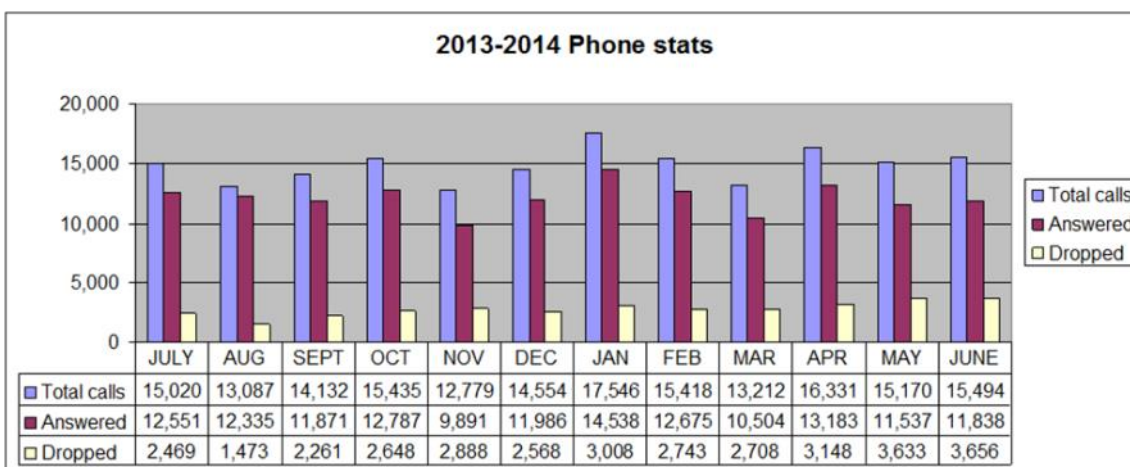


Total Calls:
174,853

Total Calls
Answered:
146,327

Total Dropped
Calls:
28,523

* Dropped calls
are terminated by
the caller



Total Calls:
178,178

Total Calls
Answered:
145,696

Total Dropped
Calls: 33,203

* Dropped calls
are terminated by
the caller

Living Will Lockbox

LivingWillLockbox.com



Protecting Your Wishes

The Living Will Lockbox is a Registry of Advance Directives for Healthcare established as a free service to all Nevadans by the 2007 Nevada State Legislature. Using the program, individuals can file certain directives including living wills, powers of attorney, and “do not resuscitate” (DNR) orders in a secure, online virtual lock box. Designated health care professionals and family members can access the Lockbox when medical care decisions must be made.

The program began March 25, 2008, and as of June 30, 2013, the Living Will Lockbox grew to include 6,684 registrants and 55 healthcare providers. In FY 2014, the Living Will Lockbox grew to 7,905 registrants and 57 healthcare providers, including University Medical Center. The registered authorized healthcare providers using the registry include hospitals, hospices, and physicians throughout Nevada. Marketing and outreach efforts are supported by grant funding and private donations.

The Secretary of State addressed a variety of groups during the biennium to encourage participation in the program. Audiences included medical and support staff at Reno’s Renown Hospital, the participants in the Retired Senior Volunteer Program, and members of the Alliance for Retired Americans.

Further information and forms for this program can be found at www.LivingWillLockbox.com.

Domestic Partnership



Domestic Partnerships, established in the 75th Session of the Nevada State Legislature as Senate Bill 283, are civil contracts which grant the same rights, protections, benefits, responsibilities, obligations and duties as any other civil contract. The Secretary of State manages the Domestic Partnership filings and the statewide Domestic Partnership registry.

As of June 30, 2013, the Domestic Partnership program had 4,724 registered partners and generated \$71,660 during FY 2013. As of June 30, 2013, the Domestic Partnership program had 5,995 registered partners and

Individuals wishing to enter into a domestic partnership in Nevada must fill out a one-page form, have their signatures notarized, and submit it with a \$50 registration fee. A ceremonial certificate is available for an additional fee.



Operations

The Secretary of State's Information Technology (IT) team is comprised of 19 full-time professionals who support application development, network systems, databases, internet services and general internal office technical needs. By developing tools that facilitate business internally and for customers, SOS IT is a critical backbone to the office moving forward by offering increased online services, internal efficiencies, paperless solutions and streamlining workflow.

In addition to maintaining the electronic Secretary of State (eSOS) business filing, document scanning and payment processing system, SOS IT supports 53 software programs and 33 network communication services and ensures compliance with the state's security protocols. SOS IT manages 255 development, test, and production databases including the business entity search, the statewide voter registration list, Aurora campaign finance disclosure reporting system, MyVoterFile, Living Will Lockbox, and Document Preparation Services. The following is a list of widely used SoS applications and services available to the public.

SOS IT Applications and Services Available to the Public

BUSINESS SERVICES

- Online Trust Account System
- eSOS Commercial Recordings Online Business Filings
- State Business License
- Business Entity Search
- Registered Agent Services
- Bulk Data Downloads
- Online Services Account Management
- Online Services Account Management
- UCC Filings
- Registered Securities Broker-Dealers

ELECTIONS

- Aurora Campaign Finance
- Online Voter Registration
- Political Action Committee Reports
- Candidate Services
- Election Night Reporting
- Abstract of Vote Search
- MyVoterFile
- Statewide Voter Registration List

GENERAL SERVICES

- Marriage Officiant Database
- Legislative Reports
- Official nvsos.gov website
- Living Will Lockbox
- Notary Application
- Notary Training
- Statewide Notary List
- Suspended Notaries
- Document Preparation Services Application
- Document Preparation Services Entity Search
- SOS Subscription Service

SOS IT also provides general office technical support and training to our employees and is responsible for drafting and maintaining approximately 260 internal and external paper and electronic forms used by the office to service our customers and constituents.

With 100,000 plus unique visitors every month, www.nvsos.gov offers a variety of electronic services and public and business-related information. This key tool has allowed Nevada business owners and their representatives, international customers, political candidates and observers, and the general public to access, at any time, information and business functions provided by the Secretary of State's office.

Biography of Secretary of State Ross Miller

Ross Miller's commitment to accountable, responsive and transparent government is reflected in his performance as Nevada's Secretary of State. Ross began the first of his two terms when he was first elected in January of 2007 as the youngest Secretary of State in the history of Nevada and the youngest in the nation at the time of his election. Miller was also unanimously selected by his peers to serve as President of the National Association of Secretaries of State for 2012-2013.

As someone who holds an MBA, Ross brings a business approach to the office, maximizing technology to bring the Secretary of State's office into the age of digital governance. During lean budget times in Ross' tenure, Ross made significant budget cuts including a staff reduction of nearly 10 percent. In spite of those cuts, Ross' leadership resulted in increased revenues, from \$104 million in FY 2007, to \$158 million in FY 2012, an increase of 52% in general fund revenue that helps pay for essential state services.

Services to constituents continue to grow in the Miller Administration including the nation's premier business portal, NVSilverflume, which provides a "one-stop-shop" for businesses conducting transactions with State agencies and municipalities. As Nevada's Chief Elections Officer, Ross' Multi-jurisdictional Elections Integrity Task Force has been identified as a national model by the FBI and the Department of Justice for responding to election and voter registration complaints. A former criminal prosecutor, Miller led an aggressive investigation in 2008 into the Association of Community Organizations for Reform Now (ACORN) that led to the filing of thirty-nine (39) felony criminal counts and eventual convictions against ACORN and two field directors. Miller also successfully fought for campaign finance and election reforms including Nevada's searchable campaign finance database "Aurora" which was the product of the most comprehensive legislative election package in Nevada's history.

Ross' additional duties as Secretary of State include board member of the Nevada Office of Economic Development; the Board of Prison Commissioners, State Board of Examiners, and the Tahoe Regional Planning Authority.

His leadership was recognized by the Aspen Institute when he was selected one of "24 Rising Stars" in American governance by the Aspen Institute and awarded the Rodel Fellowship in Public Leadership. He has also been recognized as one of the "Top 20 Under 40" by the Reno Gazette Journal, and one of the "Men to Watch" by the Nevada Press Women.

He holds dual post-grad degrees, a law degree and a MBA, from Loyola Marymount University in Los Angeles, as well as a Bachelor of Arts from Stanford University. While at Stanford, Ross served as a White House intern in the Clinton administration. He also attended the Monterrey Technological Institute in Monterrey, Mexico where he and his teammates won the Collegiate Mexican National Basketball championship. In 2012, Miller won his first sanctioned mixed martial arts fight in a light heavyweight bout and immediately retired from competition.

Born in Las Vegas, and raised in Carson City, Ross is the son of former Nevada Governor Bob Miller and First Lady Sandy Miller. Ross met his wife Lesley when they were both law students at Loyola Marymount. Lesley is an attorney with Kaempfer Crowell Renshaw Gronauer & Fiorentino. Ross and Lesley have two daughters, Cameron, 9 Geneva, 7, and son Reece, 3.

Biennial Budget: July 1, 2012 - June 30, 2014

	FY 2013			FY 2014		
	Appropriation	YTD Expenditures	Amount Reverted / Balanced Fwd	Appropriation	YTD Expenditures	Amount Reverted / Balanced Fwd
Personnel	\$8,399,919.00	\$7,882,021.00	\$ 517,897.00	\$ 8,640,588.00		\$ 76,620.00
Out of State Travel	\$ 11,756.00	\$ 11,754.00	\$ 1.00	\$ 11,241.00	\$ 11,233.00	\$ 7.00
In State Travel	\$ 26,566.00	\$ 19,913.00	\$ 6,652.00	\$ 29,757.00	\$ 29,751.00	\$ 6.00
Operating	\$1,217,106.00	\$1,211,580.00	\$ 5,525.00	\$ 1,401,309.00		\$ 185.00
Equipment	\$ -	\$ -	\$ -	\$ 20,036.00	\$ 19,899.00	\$ 136.00
Professional Services	\$ 125,920.00	\$ 125,920.00	\$ -	\$ -	\$ -	\$ -
Election Expenses	\$ 144,539.00	\$ 135,924.00	\$ 8,614.00	\$ 81,225.00	\$ 80,881.00	\$ 343.00
EASE	\$ -	\$ -	\$ -	\$ 347,850.00	\$ 56,127.00	
RADHC-Fees	\$ 34,509.00	\$ 5,057.00	\$ 29,451.00	\$ 24,585.00	\$ 4,417.00	\$ 20,167.00
Microfilm Project	\$ 6,738.00	\$ 4,362.00	\$ 2,376.00	\$ -	\$ -	\$ -
Encorcement Services	\$ 95,150.00	\$ 76,995.00	\$ 18,155.00	\$ 95,150.00	\$ 80,820.00	\$ 14,330.00
State Business Portal	\$ 122,848.00	\$ 122,848.00	\$ -	\$ 2,239,879.00		\$ 74,594.00
Information Services	\$ 141,228.00	\$ 141,079.00	\$ 148.00	\$ 1,061,613.00		\$ 14,883.00
Training	\$ -	\$ -	\$ -	\$ 89,619.00	\$ 84,668.00	\$ 4,950.00
ESOS Reporting Services	\$ 294,775.00	\$ 294,763.00	\$ 11.00	\$ -	\$ -	\$ -
Victim Assistance	\$ 12,257.00	\$ 9,994.00	\$ 2,262.00	\$ 12,426.00	\$ 11,390.00	\$ 1,035.00
Inv & Enf O/S Travel	\$ 5,699.00	\$ 687.00	\$ 5,011.00	\$ 5,000.00	\$ -	\$ 5,000.00
Inv & Enf I/S Travel	\$ 17,842.00	\$ 141,747.00	\$ 3,667.00	\$ 22,504.00	\$ 18,375.00	\$ 4,128.00
Inv & Enf Operating	\$ 172,257.00	\$ 164,710.00	\$ 7,546.00	\$ 189,723.00	\$ 159,436.00	\$ 30,286.00
Inv & Enf Equipment	\$ 502.00	\$ 383.00	\$ 118.00	\$ 649.00	\$ -	\$ 649.00
Inf & Enf Info Services	\$ 5,913.00	\$ 5,815.00	\$ 97.00	\$ 37,865.00	\$ 36,826.00	\$ 1,038.00
Inv & Enf Investor Education	\$ 99,576.00	\$ -	\$ 99,576.00	\$ 337.00	\$ -	\$ 337.00
NDOT 800 MHZ Radios	\$ -	\$ -	\$ -	\$ 6,935.00	\$ 3,650.00	\$ 3,285.00

Revenue: July 1, 2012 - June 30, 2014

Rev Source	Sub	FY 2013	FY 2014
GENERAL FUND SOURCES			
3105 - UCC			
	8A-Financing Stmt	\$646,008	\$729,192
	8B-Change	\$531,270	\$520,050
	8D-Fed Tax Liens	\$113,400	\$95,880
	8E-Certifications	\$2,420	\$2,900
	8F-Form Sales	\$161,890	\$141,552
	8G-Correction Stmt	\$390	\$120
	8H-Info Request	\$230,550	\$225,030
TOTAL - UCC		\$1,685,928	\$1,714,724
3129 - NOTARY			
	AP-Apostille	\$270,217	\$275,010
	FT-Notary Fines	\$41,561	\$18,179
	NY-Notary	\$255,306	\$246,565
Subtotal - NOTARY DIVISION SERVICES		\$567,084	\$539,754
	CC-Certified Copies	\$1,192	\$846
	AK-Acknowledgement	\$1,404	\$776
	JU-Jurat	\$1,925	\$2,313
	OW-Oath	\$23	\$40
Subtotal - CUSTOMER SERVICE NOTARY		\$4,544	\$3,975
TOTAL - NOTARY		\$571,628	\$543,729
3130 - COMMERCIAL RECORDINGS			
	AM-Amendments	\$3,370,440	\$3,549,455
	CC-Copies	\$2,407,183	\$2,590,978
	CH-Charters	\$9,700	\$7,500
	DS-Data Download	\$58,710	\$58,328
	MS-Miscellaneous	\$27,875	\$41,220
	NF-New Filings	\$4,882,125	\$5,075,080
	NR-Name Reservation	\$92,525	\$90,375
	RA-Comm'l RA Listing	\$69,581	\$79,287
	ST-Status	\$49,870,792	\$51,316,404
	SU-Summons	\$30,836	\$44,475
	TM-Trademark	\$113,045	\$119,810
	UR-Unrefundable	\$1,160,517	\$708,675
	XX - GF Expedite Fees	\$2,969,062	\$2,980,429
Subtotal - COMMERCIAL RECORDINGS		\$65,062,391	\$66,662,016
3131 - VIDEO SERVICE PROVIDER FILINGS			
	AM-Amendments / Certificates	\$4,500	\$3,000
	NF-Applications	\$2,575	\$525
TOTAL - VIDEO SERVICE PROVIDER FILINGS		\$7,075	\$3,525
3113 - BUSINESS LICENSE			
	BL-Bus License	\$63,254,646	\$66,917,959
	LF-Late Fees	\$5,418,098	\$4,865,675
TOTAL - BUSINESS LICENSE		\$68,672,744	\$71,783,634
TOTAL - COMMERCIAL RECORDINGS		\$133,742,210	\$138,449,175

Revenue: July 1, 2012 - June 30, 2014 *continued*

Rev Source	Sub	FY 2013	FY 2014
3152 - SECURITIES ⁽¹⁾			
	BD-Broker/Dealer	\$528,600	\$523,500
	BR-Branch	\$154,800	\$156,400
	EP-Exemptions	\$4,569,265	\$4,820,525
	IF-Inspection Fees	\$48,001	\$57,791
	IR-Invest Advisor Rep	\$492,030	\$507,100
	IV-Invest Advisor	\$416,700	\$435,600
	MS-Miscellaneous	\$0	\$10
	NA-No Action Letter	\$2,800	\$1,200
	RE-Registration	\$365,445	\$411,925
	SA-Sports Agents	\$7,000	\$6,500
	SL-Sales Rep	\$18,020,680	\$19,026,560
TOTAL - SECURITIES		\$24,605,321	\$25,947,111
3168 - ELECTIONS			
	CF-Candidate Filing	\$0	\$17,550
	CS-Copies	\$84	\$260
	MS-Miscellaneous	\$0	\$40
	VR-Voter Registration	\$120	\$0
	PE-Penalties	\$35,735	\$74,351
TOTAL - ELECTIONS		\$35,939	\$92,201
TOTAL GENERAL FUND SOURCES		\$160,641,026	\$166,746,940
NON - GENERAL FUND SOURCES			
1050 DOMESTIC PARTNERSHIP			
GL 3601	BW-Black and White Cert	\$1,275	\$1,525
GL 3601	CM-Ceremonial Cert	\$5,775	\$5,205
GL 3601	DP-Domestic Partnership	\$59,345	\$69,215
GL 3601	XX - Expedite Fees	\$4,200	\$2,900
GL 4326	Interest Earned	\$1,065	\$819
TOTAL - DOMESTIC PARTNERSHIP		\$71,660	\$79,664
1050 LWLB DONATIONS			
GL 4251	Donations Received	\$3,000	\$5,000
TOTAL - LWLB DONATIONS		\$3,000	\$5,000
1050 SECURITIES / MISC FEES ⁽²⁾			
GL 3722	Fees Received	\$228,675	\$260,731
TOTAL - SECURITIES / MISC FEES		\$228,675	\$260,731
TOTAL - B/A 1050		\$303,335	\$345,395
1051 HAVA			
GL 4326	Interest Earned	\$6,590	\$1,127
TOTAL - B/A 1051		\$6,590	\$1,127
1057 NOTARY TRAINING			
GL 4326	Interest Earned	\$659	\$330
GL 3895	Fees Received	\$203,420	\$201,335
TOTAL - B/A 1057		\$204,079	\$201,665
TOTAL NON - GENERAL FUND SOURCES		\$514,004	\$548,187
TOTAL YTD REVENUES ⁽³⁾		\$161,155,030	\$167,295,127

Contact Us

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**Fax not to be used for commercial recording/election report filings*

Specific fax numbers may be found under Commercial Recordings/Elections or other appropriate category

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