

145-COMMISSIONER OF INSURANCE

Dept #: /100/ Department Name: COMMISSIONER

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
<u>00022000.</u>	<u>ADMINISTRATIVE ACTIONS AGAINST INSURERS OR AGENTS</u>	<u>EVT+25</u>	<u>SHSW</u>	<u>Y</u>
	<p>These Files Contain Complaint Correspondence, Memoranda On Investigations And Statements Of Facts. Also Contain Transcripts Of Hearings Held Under The Insurance Laws, Court And Hearing Records, Evidence, Correspondence And Related Materials; Findings Of Fact, Conclusions Of Law And Orders Of The Commissioner.</p> <p>The Files Are Confidential Pending Resolution Of Appeals. Once They Have Been Designated As Closed By Oci, They Are No Longer Confidential.</p> <p>This Rda Supersedes Old Rda System Numbers 051/72/001, 050/72/003 And 099/79/005.</p> <p>Evt=Closed.</p>			
<u>00069000.</u>	<u>HMO DATA COLLECTION</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
	<p>This series consists of data received by the OCI to satisfy s. Ins 9040 (5) , Wis. Adm. Code.</p> <p>The paper and electronic data submitted to the OCI provides sample quality and consumer satisfaction information to monitor HMO (as defined in s. 609.01(2) Wis. Stat.) activity.</p> <p>This information is summarized and published on the OCI web site (oci.wi.gov/hmo_info/hmodata.htm) to inform and educate the public.</p>			
<u>00070000.</u>	<u>COMMISSIONER'S UNIT CORRESPONDENCE</u>	<u>EVT+3</u>	<u>SHSW</u>	<u>N</u>
	<p>Correspondence Dealt With Personally By The Executive Staff Relating To Licensed Companies, Individuals, Employees Of The Office, requests from organizations, etc.</p> <p>Correspondence With Other State Agencies, The Governor'S Office, The Legislature, as well as board and council documentation. Examples of boards and councils are, Group Insurance Board, HIRSP, Wisconsin Insurance Security Fund, P&C Advisory Council, Life and Disability Advisory Council, etc.</p> <p>Evt=Closed=End Of [Commissioner'S] Term.</p>			
<u>00072000.</u>	<u>ATTORNEY GENERAL OPINIONS</u>	<u>EVT</u>	<u>SHSW</u>	<u>N</u>
	<p>Correspondence From The Department Of Justice In Response To Requests From The Office For Formal And Informal Opinions On Legal Issues.</p> <p>Retain In Legal Unit Library Until No Longer Relevant To Current Issues Then Transfer To State Historical Society With Authority To Weed.</p> <p>Evt=No Longer Relevant To Current Issues.</p> <p>Sunset Renewal. Amended To Change Retention From Creation Date To Event Date.</p> <p>5/19/99 Approved By Prb.</p>			
<u>00073000.</u>	<u>COMMISSIONER'S SUBJECT FILES</u>	<u>EVT+3</u>	<u>SHSW</u>	<u>N</u>
	<p>Subject Files For Commissioner, Deputy Commissioner, And Insurance Administrator. Files Include Surveys, Reports And Speeches, Statistics, Press Clippings Related To The Office, And Information Concerning Other States.</p> <p>Retain Three (3) Years And Transfer To State Historical Society With Authority To Weed.</p> <p>Evt=Closed (End Of Term).</p> <p>Sunset Renewal.</p> <p>5/19/99 Approved By Prb.</p>			
<u>00074000.</u>	<u>ADMINISTRATIVE RULES AND HEARING RECORDS</u>	<u>EVT+1</u>	<u>SHSW</u>	<u>N</u>
	<p>Administrative Rules And Amendments Which Include Records Of Hearings On Proposed Administrative Rules To Implement The Wisconsin Statutes. Includes Transcripts, Correspondence, Drafts Of Proposed Rules, And Other Information Leading To Promulgation Of Insurance Code.</p> <p>Evt=Rule Is Superseded/Repealed. Retain 1 Year After Rule Is Repealed And Transfer To Shs With Authority To Weed.</p>			

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RDA # RDA Title Retention Disposition PII

Sunset Renewal.

5/19/99 Approved By Prb.

00075000. **LEGISLATIVE DOCUMENTS** **EVT+8** **SHSW** **N**

Correspondence, Memoranda, Worksheets, And Fiscal Notes On Proposed Legislation Which The Commissioner Is Involved In. Includes A Copy Of The Bill, Resolution Or Chapter Dealt With.

Retain 8 Years After Close Of Legislative Session. Office Procedure: Retain 6 Years In Office Then Transfer To Src For 2 Years, Then To Shs.

Supersedes Rda 050/72/001.

Evt=End Of Legislative Session.

00076000. **NATIONAL ASSOCIATION OF INSURANCE COMMISSIONERS (NAIC) RECORD** **EVT+3** **DEST** **N**

Work Papers, Correspondence, Reports, Special Research Studies And Other Information Related To Participation In Task Forces, Subcommittees Or Committees Of The NAIC Regarding Model Regulation Of Insurance.

Evt=Closed=End Of [Commissioner'S] Term.

00077000. **WISCONSIN INSURANCE REPORT** **P** **PERM** **N**

Annual Report Of Business Submitted To The Governor And To The Chief Clerk Of Each House Of The Legislature Required By S. 601.46(3), Wis. Stats.

Format And Distribution Of The Annual Report Will Be According To S. 601.47(2) And (3), Wis. Stats. One Additional Hardbound Copy Will Be Retained In The Office Library Permanently.

Sunset Renewal.

5/19/99 Approved By Prb.

00081000. **POLICY FORMS RETRIEVAL DATABASE** **CR+2** **DEST**

Computer Portion Of Car (Computer Assisted Retrieval) System. Data Consists Of Company Number, Form/Policy Number, Type, Class, Code, Date, Film And Frame Number.

Data (Except Film And Frame Number) Is Downloaded From
Data (Except Film And Frame) Is Downloaded From Company Database Every Month. Film And Frame Numbers Are Entered Manually When Microfilm Is Verified. Data Is Accessed Using Dbase Iii Plus Commercial Software And Software Written By Oci Programmers.

Retain 2 Years And Destroy Provided Hard Copy (Com) Printed.

00081A00. **POLICY FORMS RETRIEVAL DATABASE BACKUP** **CR** **DEST**

THIS IS DUPLICATE OF RECORD SERIES AS DESCRIBED IN RDA 00081000. THIS BACKUP COPY IS MADE EVERY WEEK. DATA IS COPIED ONTO A 5 1/4" DISKETTE USING FASTBACK COMMERCIAL SOFTWARE. RETAIN FOR 2 WEEKS AND DELETE.

00081B00. **POLICY FORMS RETRIEVAL DATABASE COM (COMPUTER OUTPUT MICROFILM)** **CR+100** **DEST**

This Is A Com Copy Of Data Contained In The Policy Forms Retrieval Database. Data Is Identical To Electronic Form Except The Company Name Is Printed Out Instead Of Company Number.

This Listing Is The Key To Access All Policy Forms Microfilmed For That Year. Because The Microfilm Is Scheduled For 100 Years Retention, This Record Series Must Be Retained For 100 Years.

00147000. **MEMORANDUM OF UNDERSTANDING MOU'S** **EVT+6** **DEST** **N**

ORIGINAL SIGNED AGREEMENTS BETWEEN OCI AND OTHER STATE AGENCIES, FEDERAL AGENCIES, OR CONTRACTORS KEPT IN A SINGLE LOCATION IN CENTRAL FILES LIBRARY.

A COPY OF THE DOCUMENT IS WITH THE COMPLETE CONTRACT RECORD OR PROPOSAL.

RECORD IS MAINTAINED FOR 6 YEARS AFTER THE COMPLETION AND ACCEPTANCE OF THE UNDERSTANDING BY THE DEPARTMENT AND TRANSFERRED TO THE HISTORICAL SOCIETY, PROVIDED THAT THE AGENCY HAS RESOLVED ANY DISPUTE TO WHICH AN AUDIT EXCEPTION HAS BEEN TAKEN.

Dept #: /100/ Department Name: COMMISSIONER

RDA # RDA Title Retention Disposition PII

DESTROY.

Dept #: /200/ Department Name: LOCAL GOVERNMENT PROPERTY INSURANCE FUND

RDA # RDA Title Retention Disposition PII

00100000. POLICY ADMINISTRATION REPORTS CR+10 DEST N

THE LOCAL GOVERNMENT PROPERTY INSURANCE FUND PROVIDES PROPERTY INSURANCE UNDER CH. 605, WIS STAT.
MONTHLY REPORTS PRINTED AND KEPT IN BINDER AT CONTRACTOR WITH ELECTRONIC COPY SENT TO FUND ADMINISTRATOR AT OCI.

REPORTS INCLUDE BILLING PREMIUM LISTING: RENEWALS POSTING RUN: PREMIUM RECEIVABLE BALANCING AND CONTROL REPORT: ACCOUNTS RECEIVABLE AGED REPORT: PREMIUM JOURNAL AND AUDIT TRAIL OF PINSOFT G/L INTERFACE FILE CREATION: CASH DISBURSEMENTS JOURNAL AND AUDIT TRAIL OF PINSOFT G/L INTERFACE FILE CREATION: CASH DISBURSEMENTS JOURNAL AND AUDIT TRAIL OF PINSOFT G/L INTERFACE FILE CREATION: PART 2 OF 2 INTERFACE LISTING (OF ABOVE CASH DISBURSEMENTS JOURNAL): MONTHLY PRODUCTION REPORT W/O BUILDERS RISK-BY ENTITY TYPE: BUILDERS RISK MONTHLY PRODUCTION REPORT W/O BUILDERS RISK- BY ENTITY TYPE: BUILDERS RISK MONTHLY PRODUCTION REPORT - BY ENTITY TYPE.

RETENTION: CREATION + 10 YEARS AND DESTROY.

00105000. FIRE INSURANCE POLICIES FIS+4 DEST N

THE LOCAL GOVERNMENT PROPERTY INSURANCE FUND PROVIDES PROPERTY INSURANCE UNDER CH. 605, WIS. STAT.

IMAGE OF INSURANCE POLICIES WRITTEN BY THE FUND, COVERING PROPERTY OF WISCONSIN GOVERNMENTAL UNITS. ALSO CONTAINS ANY INSURED WHO MAY HAVE WITHDRAWN FROM THE FUND. INCLUDES COPY OF RESOLUTION TO JOIN AND WITHDRAW IF APPLICABLE. INCLUDES ALL OCI FORMS AND ENDORSEMENTS, AND RELATED CORRESPONDENCE. INCLUDES PREMIUM RECEIVABLE INVOICE, STATEMENT OF VALUES, DEC PAGES AND COVERAGE CHANGE DOCUMENTS.

RETENTION: FIS + 4 YEARS AND DESTROY.

00106000. LOSS RECORDS FIS+6 DEST Y

THE LOCAL GOVERNMENT PROPERTY INSURANCE FUND PROVIDES PROPERTY INSURANCE UNDER CH. 605, WIS. STAT.

LOSS OR CLAIM RECORDS OF CLAIMS AGAINST POLICIES PROCESSED, DENIED, OR WITHDRAWN. INCLUDES ORIGINAL REPORTS, ESTIMATES, ADJUSTMENTS, PROOF OF LOSS FORM, COPY OF DISBURSEMENT ORDER, AND RELATED CORRESPONDENCE.

RETENTION: FIS + 6 YEARS AND DESTROY CONFIDENTIAL.

00108000. FINANCIAL STATEMENTS CR+7 DEST N

THE LOCAL GOVERNMENT PROPERTY INSURANCE FUND PROVIDES PROPERTY INSURANCE UNDER CH. 605, WIS. STAT.

PAPERS USED IN THE PREPARATION OF THE ANNUAL STATEMENT. INCLUDES CALCULATION OF FIRE DUES, PREMIUM IN FORCE REGISTER, MONTHLY BALANCE SHEETS, INCOME STATEMENTS, STATEMENTS OF INCOME SUPPORTING SCHEDULES, GENERAL LEDGER, TRANSACTION JOURNAL, CASH RECEIPTS AND CASH DISBURSEMENTS.

RETENTION: CR + 7 YEARS AND DESTROY.

00109000. LOSS RECORDS LEGAL ACTION EVT+25 DEST Y

THE LOCAL GOVERNMENT PROPERTY INSURANCE FUND PROVIDES PROPERTY INSURANCE UNDER CH. 605, WIS. STAT.

THESE ARE LOSS RECORDS OR CLAIM RECORDS OF CLAIMS AGAINST POLICIES THAT HAVE BEEN SUBROGATED TO A THIRD PARTY. IF LITIGATION IS INVOLVED IN THE SETTLEMENT, FILES MAY CONTAIN SUBROGATION ACTIONS, LEGAL DOCUMENTS, EXPERT WITNESS REPORTS, JUDGEMENTS, AND LEGAL TRANSCRIPTS. INCLUDES ORIGINAL REPORTS ESTIMATES, ADJUSTMENTS, PROOF OF LOSS FORM, COPY OF DISBURSEMENT ORDER, RELATED CORRESPONDENCE.

RETENTION: EVENT(CLOSE OF LEGAL ACTION) + 25 YEARS AND DESTROY CONFIDENTIAL

00110000. ENTRY/TERMINATION RESOLUTION OF POLICY HOLDER P PERM N

Dept #: /200/ Department Name: LOCAL GOVERNMENT PROPERTY INSURANCE FUND

RDA # RDA Title Retention Disposition PII

ORIGINAL RESOLUTION TO JOIN THE FUND UNDER WIS. STAT. 601.21(1) OR TO TERMINATE THE FUND UNDER WIS. STAT. 605.21(3) CERTIFYING ACTION BY MAJORITY VOTE.

00111000. **EXCESS OF LOSS CONTRACTS AND PROPOSALS** **CR+10** **DEST** **N**

THE LOCAL GOVERNMENT PROPERTY INSURANCE FUND PROVIDES INSURANCE UNDER CH. 605, WIS. STAT.

EACH YEAR THE LGPIF PLACES EXCESS OF LOSS COVERAGE. AS PART OF THIS PROCESS THERE IS A PROPOSAL DOCUMENT OUTLINING THE CHOICES AVAILABLE TO THE FUND AND UPON BINDING COVERAGE, CONTRACTS ARE ISSUED. THIS RDA COVERS THE RETENTION OF THE PROPOSALS AND EXCESS OF LOSS CONTRACTS.

RETENTION: CR + 10 YEARS AND DESTROY.

Dept #: /210/ Department Name: STATE LIFE INSURANCE FUND

RDA # RDA Title Retention Disposition PII

00034000. **INDIVIDUAL POLICY DOCUMENTS** **EVT+25** **DEST** **Y**

LIFE INSURANCE POLICY DOCUMENTS FOR ACTIVE AND TERMINATED POLICIES INCLUDE: 1) APPLICATIONS, 2) IRS W-9 FORM, 3) UNDERWRITING WORKSHEET, 4) MEDICAL INFORMATION, RETAIL CREDIT REPORTS, DISABILITY CLAIMS, 5) PROOF OF DEATH, REQUEST FOR TERMINATION, AND/OR LAPSE INFORMATION, 6) WORKSHEET FOR FINAL PROCEEDS, 7) POLICY CONTRACT 8) CORRESPONDENCE, 9) BENEFICIARY, OWNER, NAME, OR PLAN CHANGE FORMS, 10) ACCOUNTING DOCUMENTATION, 11) POLICY LOAN NOTES, 12) REINSURANCE PAPERS, 13) ADDRESS CHANGES, 14) 1099-R AND TAX INFORMATION WORKSHEETS.

IMAGES ARE BACKED-UP NIGHTLY

RETAIN PAPER UNTIL IMAGED, INDEXED, AND REVIEWED, THEN DESTROY

RETAIN UNTIL +25 AFTER THE TERMINATION OF THE POLICY.

WIS. STAT. 146.82 (CONFIDENTIALITY)

WIS. STAT. 19.62 (5) (PERSONALLY IDENTIFIABLE INFORMATION)

RETENTION: EVENT(TERMINATION OF THE POLICY) + 25 YEARS AND DESTROY CONFIDENTIAL

00037000. **INDIVIDUAL POLICY FILES** **EVT+10** **DEST** **Y**

Individual Policy Files For Policies Or Applications

Terminated By Death, Maturity, Expiration, Lapse, Surrender, Decline, Not Taken Or Withdrawn. Each File May Contain:

1. Application
2. Irs W-9 Form
3. Underwriting Worksheet
4. Medical Information, Retail Credit Reports, Disability Claims
5. Proof Of Death, Request For Termination, And/Or Lapse Information
6. Worksheet For Final Proceeds
7. Policy Contract
8. Correspondence
9. Beneficiary, Owner, Name, Or Plan Change Forms
10. Accounting Documentation
11. Policy Loan Notes
12. Reinsurance Papers
13. Address Changes
14. 1099-R And Tax Information Worksheets

Policyholders Have Up To Five Years (Per The Policy Contract Language) To Reinstatement A Policy Which Has Terminated For Other Than A Voluntary Surrender.

Evt=Closed.

5/22/00 Approved By Prb.

00088000. **BOND TRANSACTIONS** **FIS+6** **DEST** **N**

THE FOLLOWING UNIQUE DOCUMENTS FILED IN MONTHLY BOND FILES:

RDA #	RDA Title	Retention	Disposition	PII
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BOND SYSTEM INVENTORY PREPARED BY MONTH
 ADJUSTMENTS AND RECONCILIATIONS
 TRANSACTIONS COMPLETED BY STATE OF WISCONSIN INVESTMENT BOARD
 CUSTODIAN STATEMENTS

RETENTION: FIS + 6 YEARS AND DESTROY CONFIDENTIAL

<u>00090000.</u>	<u>ANNUAL STATEMENT OFFICE WORKPAPERS</u>	<u>EVT+4</u>	<u>DEST</u>	<u>N</u>
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OFFICE WORKPAPERS FOR THE NAIC ANNUAL STATEMENT REGARDING YEAR-END REPORTING.

RETENTION: EVENT(AFTER LAB AUDIT) + 4 YEARS AND DESTROY CONFIDENTIAL

<u>00092000.</u>	<u>1099 AND BACK-UP WITHHOLDING REPORTS</u>	<u>CY+7</u>	<u>DEST</u>	<u>Y</u>
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THE INFORMATION CONTAINS TAX IDENTIFICATION NUMBERS, POLICY NUMBERS, NAMES, TAXABLE AMOUNTS AND AMOUNT OF BACK-UP WITHHOLDING PAID (IF APPLICABLE). IN ADDITION, INTEREST INCOME IS REPORTED ON ALL SITUATIONS IN THE FUND IF OVER \$10 PER POLICY PER CALENDAR YEAR.

IRS DIRECTED RETENTIONS:

PERIOD OF LIMITATIONS THAT APPLY TO INCOME TAX RETURNS

1. KEEP RECORDS FOR 3 YEARS IF SITUATIONS (4), (5), AND (6) BELOW DO NOT APPLY TO YOU
2. KEEP RECORDS FOR 3 YEARS FROM THE DATE YOU FILED YOUR ORIGINAL RETURN OR 2 YEARS FROM THE DATE YOU PAID THE TAX, WHICHEVER IS LATER, IF YOU FILE A CLAIM FOR CREDIT OR REFUND AFTER YOU FILE YOUR RETURN.
3. KEEP RECORDS FOR 7 YEARS IF YOU FILE A CLAIM FOR A LOSS FROM WORTHLESS SECURITIES OR BAD DEBT DEDUCTION.
4. KEEP RECORDS FOR 6 YEARS IF YOU DO NOT REPORT INCOME THAT YOU SHOULD REPORT, AND IT IS MORE THAN 25% OF THE GROSS INCOME SHOWN ON YOUR RETURN.

RETENTION: EVENT(CALENDAR YEAR) + 7 YEARS AND DESTROY CONFIDENTIAL
 WIS. STAT. 19.62(5)

<u>00093000.</u>	<u>GENERAL LEDGERS</u>	<u>FIS+6</u>	<u>DEST</u>	<u>N</u>
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MONTHLY LEDGERS SUMMARIZING THE ACTIVITIES OF THE ACCOUNTING SYSTEM MAINTAINED BY THE STATE LIFE INSURANCE FUND.

RETENTION: FIS + 6 YEARS AND DESTROY CONFIDENTIAL

<u>00095000.</u>	<u>POLICY DATA</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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COMPUTER PREPARED MICROFICHE DETAILING THE POLICY STATUS OF EACH POLICY FROM 1973 TO 1993. THE HISTORICAL DIVIDEND INFORMATION CONTAINED ON THE FICHE IS USED FOR TAXABLE GAIN REPORTING.

MICROFICHE IS CURRENTLY BEING DIGITALIZED AND INDEXED.

RETENTION: EVENT(AFTER INDEXED AND VERIFIED) + 5 YEARS AND DESTROY CONFIDENTIAL

<u>00096000.</u>	<u>STATUTORY ANNUAL STATEMENT & FISCAL GAAP WORK PAPERS</u>	<u>FIS+4</u>	<u>DEST</u>	<u>N</u>
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WORKSHEETS, SPREADSHEETS, ACTUARIAL WORK PAPERS, REPORTS, AND LETTERS USED IN THE PREPARATION OF:
 - NAIC ANNUAL STATUTORY FINANCIAL REPORT,
 - STATE OF WISCONSIN COMPREHENSIVE ANNUAL FINANCIAL REPORT (GAAP, FISCAL)

THESE RECORDS ARE CREATED ANNUALLY.

RETENTION: FIS + 6 YEARS AND DESTROY CONFIDENTIAL

<u>00097000.</u>	<u>FIMMAS (FLEXIBLE INSURANCE, MARKETING, MANAGEMENT AND ADMINIS</u>	<u>EVT+25</u>	<u>DEST</u>	<u>Y</u>
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FIMMAS IS A CLIENT-SERVER PRODUCT OF MANAGEMENT DATA, INC. OF BIRMINGHAM, AL (WWW.MGTDATA.COM), DEVELOPED IN APPX WITH AN APPX DATABASE. SEE ATTACHED FOR GREATER SYSTEM DETAIL.

FIMMAS RECORDS ARE COMPOSED OF THE STATE LIFE INSURANCE FUND'S LIFE INSURANCY POLICY DATABASE WHICH CONTAINS POLICYHOLDER INFORMATION, ACTUARIAL TABLES CONTAINING RATES AND RESERVERS AND ALL OF THE NECESSARY FUNCTIONS TO MAINTAIN THE DATA. THIS INCLUDES ALL APPROPRIATE DATA FIELDS AND FUNCTIONS SUCH AS BILLING, CONTRACT AND CLIENT STATUS TRACKING, TAX REPORTING, DIVIDEND PROCESSING, JOURNALIZED HISTORY (DATES AND RECORD UPDATES) OF CHANGES TO RECORDS, LETTERS TO POLICYHOLDERS, AND GAAP AND STATUTORY FINANCIAL REPORTING.

FIMMAS PROVIDES FEATURES FOR: - SEARCHING FOR POLICIES BY POLICYHOLDER NMAE, CONTRACT, NUMBER CLIENT ID, DATE OF BIRTH, AND FEDERAL IDENTIFICATION NUMBER. - ADDING NEW CLAIMS

Dept #: /210/ Department Name: STATE LIFE INSURANCE FUND

RDA #	RDA Title	Retention	Disposition	PII
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RETENTION: EVENT(TERMINATION OF POLICY) + 25 YEARS AND DESTROY CONFIDENTIAL
WIS. STAT. 146.82 (CONFIDENTIALITY)
WIS. STAT. 19.62 (5) (PERSONALLY IDENTIFIABLE INFORMATION)

Dept #: /230/ Department Name: PATIENTS COMPENSATION FUND

RDA #	RDA Title	Retention	Disposition	PII
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<u>00001000.</u>	<u>CERTIFICATE OF PRIMARY HEALTH CARE LIABILITY</u>	<u>CR+1</u>	<u>DEST</u>	<u>Y</u>
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CERTIFICATES OF INSURANCE OR EQUIVALENT FORM SUBMITTED ANNUALLY AS PROOF OF FINANCIAL RESPONSIBILITY BY INSURANCE COMPANIES FILED IN ACCORDANCE WITH S.655.23 (2) WIS. STATS. INFORMATION IS KEYED INTO PROVIDER MASTER FILE. PAPER OR ELECTRONIC FORMS ARE RETAINED UNTIL THE NEXT ANNUAL SUBMISSION IS RECEIVED AND THEN VERIFIED AND MICROFILMED.

CR + 1 YEAR AND DESTROY CONFIDENTIAL

<u>00001A00.</u>	<u>CERTIFICATE OF PRIMARY HEALTH CARE LIABILITY</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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CERTIFICATES OF INSURANCE OR EQUIVALENT FORM SUBMITTED ANNUALLY AS PROOF OF FINANCIAL RESPONSIBILITY BY INSURANCE COMPANIES FILED IN ACCORDANCE WITH S.655.23 (2) WIS. STATS. INFORMATION IS KEYED INTO PROVIDER MASTER FILE. MEDIA IS MICROFILM.

EVENT = END OF PROGRAM + 3 YEARS AND DESTROY CONFIDENTIAL.

<u>00002000.</u>	<u>AFFIDAVIT OF EXEMPTION</u>	<u>CR+1</u>	<u>DEST</u>	<u>Y</u>
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AFFIDAVITS OF EXEMPTION FORM OR ITS EQUIVALENT FILED BY HEALTH CARE PROVIDERS STATING THAT THEY ARE EXEMPT FROM THE PROVISIONS, BENEFITS AND LIMITATIONS OF CHAPTER 655, INCLUDING LETTERS AND CORRESPONDENCE FROM PROVIDERS. FORMS ATTEST TO EXEMPTION BY REASON OF RESIDENCE, RETIREMENT, AMOUNT OF PRACTICE, OR GOVERNMENT EMPLOYMENT AND ARE FILED IN ACCORDANCE WITH S.655.001(8) AND (11) AND S. 65502, WIS. STATS. INFORMATION IS KEYED INTO PROVIDER MASTER FILE. PAPER OR ELECTRONIC FORMS ARE RETAINED UNTIL MICROFILMED.

CR+ 1 YEAR AND DESTROY CONFIDENTIAL.

<u>00002A00.</u>	<u>AFFIDAVIT OF EXEMPTION</u>	<u>CR+100</u>	<u>DEST</u>	<u>Y</u>
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AFFIDAVITS OF EXEMPTION FORM OR ITS EQUIVALENT FILED BY HEALTH CARE PROVIDERS STATING THAT THEY ARE EXEMPT FROM THE PROVISIONS, BENEFITS AND LIMITATIONS OF CHAPTER 655, INCLUDING LETTERS AND CORRESPONDENCE FROM PROVIDERS. FORMS ATTEST TO EXEMPTION BY REASON OF RESIDENCE, RETIREMENT, AMOUNT OF PRACTICE, OR GOVERNMENT EMPLOYMENT AND ARE FILED IN ACCORDANCE WITH S.655.001(8) AND (11) AND S.655.02, WIS. STATS. INFORMATION IS KEYED INTO PROVIDER MASTER FILE. MEDIA IS MICROFILM.

CR + 100 YEARS AND DESTROY CONFIDENTIAL.

<u>00003000.</u>	<u>PROVIDER MASTER FILE</u>	<u>CR+100</u>	<u>DEST</u>	<u>Y</u>
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INJURED PATIENTS AND FAMILIES COMPENSATION FUND COMPUTER FILE CONTAINING SUMMARY INFORMATION FROM EACH HEALTH CARE PROVIDER, BOTH HISTORICAL AND CURRENT, INCLUDING: NAME, ADDRESS, TYPE OF PROVIDER, LICENSE NUMBER, INSURANCE COMPANY AND POLICY NUMBER, LIABILITY LIMITS, TYPE OF COVERAGE, AND ISO SPECIALTY CODES. ALSO AMOUNTS ASSESSED AND AMOUNTS PAID FOR PARTICIPATION IN THE FUND, TERMINATION OF INSURANCE AND REASONS; AND EXEMPTION FROM PARTICIPATION IN THE FUND; AND SUSPENSION/REVOCAION AND CLAIMS INFORMATION.

SOURCE DOCUMENTS INCLUDE CERTIFICATE OF INSURANCE FOR PRIMARY HEALTH CARE LIABILITY, AFFIDAVIT OF EXEMPTION, ASSESSMENT NOTICE, TERMINATION NOTICE, OR EQUIVALENT FORMS.

CR + 100 YEARS AND DESTROY CONFIDENTIAL.

<u>00004000.</u>	<u>NOTICE OF TERMINATION</u>	<u>CR+1</u>	<u>DEST</u>	<u>Y</u>
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INJURED PATIENTS AND FAMILIES COMPENSATION FUND NOTICE OF TERMINATION FORM OR ITS EQUIVALENT FROM INSURER GIVING WRITTEN NOTICE OF TERMINATION OF A HEALTH CARE PROVIDER'S PRIMARY HEALTH CARE LIABILITY POLICY TO THE COMMISSIONER OF INSURANCE, PER THE REQUIREMENTS OF S.655.24(2)(B), WIS. STATS. INFORMATION IS KEYED INTO THE PROVIDER MASTER FILE. PAPER OR ELECTRONIC FORMS ARE RETAINED UNTIL MICROFILMED.

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RDA # RDA Title Retention Disposition PII

CR + 1 YEAR AND DESTROY CONFIDENTIAL.

0004A00. NOTICE OF TERMINATION CR+100 DEST Y

INJURED PATIENTS AND FAMILIES COMPENSATION FUND NOTICE OF TERMINATION FORM OR ITS EQUIVALENT FROM INSURER GIVING WRITTEN NOTICE OF TERMINATION OF A HEALTH CARE PROVIDER'S PRIMARY HEALTH CARE LIABILITY POLICY TO THE COMMISSIONER OF INSURANCE, PER THE REQUIREMENTS OF S. 655.24 (2) (B), WIS. STATS. INFORMATION IS KEYED INTO THE PROVIDER MASTER FILE.

MEDIA: MICROFILM

CR + 100 YEARS AND DESTROY CONFIDENTIAL

0005000. PAID ASSESSMENT NOTICE FIS+4 DEST Y

ASSESSMENT NOTICES OR EQUIVALENT FORMS RETURNED WITH PAYMENT BY HEALTH CARE PROVIDERS FOR COVERAGE UNDER THE INJURED PATIENTS AND FAMILIES COMPENSATION FUND, S. 655.27(3), WIS. STATS., AND INS. 17.01.

FIS + 4 YEARS AND DESTROY CONFIDENTIAL.

0008000. FINANCIAL REPORTS EVT+4 DEST N

INJURED PATIENTS AND FAMILIES COMPENSATION FUND FINANCIAL STATUS REPORTS AND AUDITS, INCLUDING COMPUTER OUTPUT REPORTS DETAILING ASSESSED AMOUNTS AND INCOME RECEIVED FOR INJURED PATIENTS AND FAMILIES COMPENSATION FUND OPERATIONS: ASSESSMENT FEES PAUMENT REPORT, ISO CODE REPORT, REPORT OF ELIGIBLE REFUNDS, OR EQUIVALENT FINANCIAL STATUS REPORTS.

EVENT = COMPLETION OF AUDIT + 4 YEARS AND DESTROY.

Dept #: /300/ Department Name: FINANCIAL ANALYSIS AND EXAMINATIONS

RDA # RDA Title Retention Disposition PII

00009000. CORPORATE RECORDS-MERGED/WITHDRAWN/LIQUIDATED DISSOLVED DC EVT+10 SHSW Y

Corporate records of domestic insurers organized or operating under Wis. Stat. ch. 185, 611, 612, 613, 614, 615, 616, and 648, and to include other applicable entities which have discontinued doing business in Wisconsin because of merger with other insurers, financial difficulty or other reasons. Records may include Articles of Incorporation, Bylaws and amendments to each, examination reports; security deposits with the State Treasurer, biographical data of officers and directors; reinsurance agreements; holding company transactions and registration records; and company correspondence. The same type of material is in the active files of companies currently operating. Active files are covered by RDA # 19.

Box 16 - Confidential or Limited Access -Wis. Stat. § 601.465

Event = Discontinuation of business; Event + 10 years; Transfer to State Archives (WHS)

00010000. CORPORATION RECORDS-MERGED/WITHDRAWN/LIQUIDATED/DISSOLVED I EVT+10 DEST Y

Corporate records of non-domestic insurers once licensed in Wisconsin under Wis. Stat. ch. 618, which have ceased to maintain a Wisconsin license because of merger with other insurers, dissolution, liquidation or other termination transaction types. Records may include Articles of Incorporation, Bylaws and amendments to each; examination reports; security deposits with the State Treasurer, biographical data of officers and directors; reinsurance agreements; holding company transactions and registration records; and company correspondence. The same type of material is in the active files of companies currently operating. Active company files are covered under RDA #19.

Event = Completion of Termination Transaction; Event + 10 yrs; Destroy Confidential

Box 16 - Confidential or Limited Access: Wis. Stat. § 601.465

00011000. ARTICLES AND BYLAWS-DOMESTIC INSURERS & TOWN MUTUALS P PERM N

Digital or paper Articles of Incorporation, Bylaws, and amendments to each, of licensed Wisconsin insurers filed in accordance with Wis. Stat. ch. 185, 611, 612, 613, 614, 615, 616, 628, and 647.

Box 9 - Retain: Permanently Wis. Stat § 601.46 (1) .

RDA #	RDA Title	Retention	Disposition	PII
<u>00012000.</u>	<u>ARTICLES AND BYLAWS-NON-DOMESTIC INSURERS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
	Articles of Incorporation, Bylaws, and amendments to each, of non-domestic insurers licensed to do business in Wisconsin filed in accordance with Wis. Stat. §§ 618.11 and 618.14.			
	Event=Superseded; Event + 5 yrs; Destroy			
<u>00013000.</u>	<u>EXAMINATION REPORTS-DOMESTIC AND TOWN MUTUAL INSURERS</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
	Reports of business, affairs and general conditions of Wisconsin domiciled insurers, as disclosed by books and accounts, prepared periodically by departmental examiners as authorized by Wis. Stat. § 601.44. Includes all types of exams: Association, Target, Compliance, Comprehensive and Market Conduct.			
	Box 9 - Permanent Retention - Wis. Stat. § 601.46 (2) .			
<u>00013A00.</u>	<u>EXAMINATION REPORTS-DOMESTIC AND TOWN MUTUAL INSURERS</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
	Reports Of Business And Affairs And General Conditions Of Wisconsin Domiciled Insurers, As Disclosed By Books And Accounts, Prepared Periodically By Departmental Examiners As Authorized By S. 601.44, Wis. Stats.			
	Includes all types of Exams: Association, Target, Compliance, Comprehensive And Market conduct			
	Note: Retain Microfilm Copy Permanently In Office With Master Microfilm At State Records Center.			
<u>00015000.</u>	<u>FINANCIAL EXAMINATION WORKPAPERS AND MONITORING FILES FOR DOMESTIC INSURERS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
	Workpapers used or created by staff in examining and monitoring domestic insurers, including but not limited to final drafts, letter of transmittal, table of contents, corporate records, rating and statistical reports, accounts and records, financial statements of assets, liabilities, underwriting, investment, expenses and reconciliations, comments on financial statements of income, expenses, assets, liabilities, surplus and other funds, acknowledgement, correspondence and related material.			
	Retention: Finalized examination and monitoring workpapers (electronic and paper) retained until the later of the completion of next finalized examination or full accreditation review by the National Association of Insurance Commissioners (NAIC) is complete.			
	Box 16 - Confidential or Limited Access: Wis. Stat. § 601.465			
	EVT = Superseded or Accreditation Completed; EVT = 10 YRS; Destroy Confidential			
<u>00016000.</u>	<u>HOLDING COMPANY FILINGS-DOMESTIC INSURERS</u>	<u>CR+10</u>	<u>DEST</u>	<u>N</u>
	Registration: Insurance Holding Company System Registration Statement, filed in accordance with Wis. Admin. Code ch. Adm 40, and amendments to statements. Statements are required of all Wisconsin insurers with affiliates, under Wis. Stat. § 617.11.			
	Material Transactions: transactions, relationships, and agreements between domestic insurer and any affiliates, including sales and purchases, exchanges, loans, extensions of credit, or investments; service contracts or cost sharing arrangements; transactions significantly affecting the insurer with or between affiliates and not in the ordinary course of business; and advance report and disapproval filed in accordance with Wis. Admin. Code ch. Adm 40, and Wis. Stat. §§ 600.03 (19), 613.11, and 617.21.			
	Box 16 - Confidential or Limited Access: Wis. Stat. § 601.465.			
	CREATION + 10 YRS; Destroy Confidential			
<u>00017000.</u>	<u>TOWN MUTUAL REINSURANCE CONTRACTS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
	Reinsurance contracts approved by and filed with the Commissioner in compliance with Wis. Stat. § 612.33. A Town Mutual may cede reinsurance only under Wis. Stat. § 612.31 (6), or to an insurer authorized to do business in this state under Wis. Stat. § 612.71, or Wis. Stat. ch. 611 or 618, or under arrangements which are subject to the controls the Commissioner prescribes. Town Mutuals are required to reinsure windstorm and hail insurance and non-property insurance pursuant to Wis. Stat. § 612.33 (2).			
	Evt=Superseded; Evt + 5 YRS and Destroy			
<u>00018000.</u>	<u>SECURITY DEPOSITS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>
	Records of securities deposited or held under control with the State Treasurer by insurers or other licensees of the Office of the Commissioner of Insurance in compliance with Wis. Stat. § 601.13 (5).			

RDA #	RDA Title	Retention	Disposition	PII
	EVT = After deposit has expired; EVT + 1 and Destroy			
<u>00019000.</u>	<u>ACTIVE COMPANY FILES</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
	These files include records for active entities licensed under Wis. Stat. ch. 185, 611, 612, 613, 614, 615, 616, 618, and 648, as well as other applicable entities. Files are maintained in Central Files area of OCI and may include reinsurance contracts of domestic companies filed in accordance with Wis. Stat. § 611.78(2), reinsurance contracts of non-domestic companies filed in accordance with Wis. Stat. § 618.32, significant correspondence relating to position of the Office of the Commissioner of Insurance, and statements of the Commissioner's policy or decisions. Active company files are retained permanently until the company becomes inactive. Inactivation may be due to merger, withdrawal, dissolution, liquidation, etc. Once inactive, the files are covered under RDA # 9 or 10.			
	Box 9 - Retain: Permanently - Wis. Stat. § 601.46(1) and 601.46 (2). Box 16 - Confidential or Limited Access - Wis. Stat. § 601.465			
<u>00020000.</u>	<u>BIOGRAPHICAL DATA-OFFICERS AND DIRECTORS OF DOMESTIC COMPANI</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
	Statement of education, prior occupation, business experience and supplementary information and biographical sketches filed for each officer and director of licensed Wisconsin insurers when the officer or director is elected or appointed as required by s. Ins. 6.52 or under Ins. 57, Wis. Adm. Code. A record is closed when the individual's term as an officer or director expires either due to being superseded or death.			
	Box 16 - Wis. Stat. § 601.465 (1m)(d)			
	EVT = Superseded or death; EVT + 1 yr; Destroy Confidential			
<u>00024000.</u>	<u>SCHEDULE OF ANNUAL TAXES AND FEES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
	Annual year-end tax return filings, or equivalent, by domestic and non-domestic insurers showing the amount of premiums written and/or income with the applicable tax thereon required by Wis. Stat. §§ 601.31, 601.32, 601.55, 601.93 (2), and 76.60-76.69, provided tax return is not in dispute. Also included are statutory fees for annual statement filing and continuation of license.			
	Evt=Date Filed; EVT + 10 yrs; Destroy			
<u>00025000.</u>	<u>TOWN MUTUAL INSURER ANNUAL STATEMENTS</u>	<u>CR+5</u>	<u>SHSW</u>	<u>N</u>
	Annual Statements of Wisconsin Town Mutual Insurance companies (PCO form 22-070 and 22-0708, or equivalent) used for annual filings by such companies as required by Wis. Stat. § 601.42, and Wis Admin. Code ch. Adm 7. The statements include names of officers, statement of financial condition and operations, claims and losses, assets and liabilities, number of policies issued and in force, aggregate amount insured, and expenses.			
	EVT = Date Received; EVT + 10 yrs; Transfer - State Archives (WHS)			
<u>00026000.</u>	<u>PRELIMINARY PROSPECTUS AND REGISTRATION STATEMENTS (NONDOMESTIC)</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>
	A report of the business and affairs and financial condition of a corporation which is an insurer, or owns, or controls, an insurer licensed in Wisconsin for purpose of providing information to prospective buyers of an offering of securities (bonds, stocks, etc.). Wis. Stat. § 551.27 (13), provides that securities issued or guaranteed by insurance, suretyship or other companies supervised by the Commissioner of Insurance, or by a person whose business consists principally of owning or controlling the securities of any such company, shall not be registered without prior approval of the Commissioner of Insurance.			
	EVT = disapproval by OCI; EVT + 1 yr; Destroy			
<u>00027000.</u>	<u>DECLARATION OF WISCONSIN PREMIUM TAX AND FIRE DUES-QUARTERLY</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
	Quarterly declaration of estimated premium tax and fire department dues, (OCI form 27-013 or equivalent) in accordance with Wis. Stat. §§ 76.64 and 601.93. Also included are daily cash sheets and year end computer runs that break down quarterly payments from individual insurer.			
	EVT = End of filing calendar year; EVT + 6 yrs; Destroy			
<u>00028000.</u>	<u>CERTIFICATE OF AUTHORITY/PERMITS/REGISTRATION</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
	Certificate of Authority/Permit/Registration of companies authorized to do business in Wisconsin. It provides name of entity, state of domicile, lines of authority, date issued and any limitations on business.			
	EVT = Superseded; EVT + 5 yrs; Destroy			
<u>00029000.</u>	<u>ANNUAL FINANCIAL FILINGS BY INSURERS-NONDOMESTIC</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
	Insurance company annual filings, including, but not limited to: jurat page, letters granting filing exemptions, correspondence regarding certified public accounting (CPA) firm, CPA audited financial reports and interim reports.			

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EVT = End of filing calendar year; EVT + 5 yrs; Destroy

Insurance company annual filings, including, but not limited to: jurat page, letters granting filing exemptions, correspondence regarding certified public accounting (CPA) firm, CPA audited financial reports and interim reports.

EVT = End of filing calendar year; EVT + 5 yrs; Destroy

<u>00030000.</u>	<u>ANNUAL FINANCIAL FILINGS BY INSURERS-DOMESTIC</u>	<u>EVT+8</u>	<u>SHSW</u>	<u>N</u>
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Insurance company annual statement printed forms approved by the National Association of Insurance Commissioners (NAIC) or this agency for use by insurance companies (other than Town Mutuals) doing business in the state of Wisconsin. The statements detail information to elicit a true and complete exhibit of the financial condition and the character and methods of each company or society. They include such items as assets and liabilities, capital and surplus, claim reserves, gain and loss, dividends expensed, investments and solvency. The statement folder may also contain approved NAIC supplemental forms to the annual statement, or equivalent. These filings are required pursuant to Wis. Stat. § 601.42, and Wis. Admin. Code ch. Adm 7. Also includes financial audit reports of insurers licensed to do business in Wisconsin filed annually in compliance with Wis. Stat. §§ 601.42, 601.43, and Wis. Admin. Code ch. Adm 50. Includes letter granting exemption from compliance with the rule if applicable, correspondence regarding certified public accounting (CPA) firm, CPA audited financial report(s) and interim reports, if filed.

EVT=End of filing calendar year; EVT + 8 yrs; Transfer - State Archives (WHS)

<u>00033000.</u>	<u>MARKET SHARES REPORTS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>N</u>
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Market Shares reports are based on data filed in the insurer annual statement and are generated annually. The reports consist of insurer name, percent of market, and premiums written by major lines of business. This report contains both domestic and non-domestic insurers.

Top 20 market shares companies are listed in the Commissioners Report annually.

EVT = Date of report; EVT + 3 yrs; Transfer - State Archives (WHS)

<u>00066000.</u>	<u>GENERAL RECORDS OF LIQUIDATED OR REHABILITATED DOMESTIC INSUR</u>	<u>EVT</u>	<u>DEST</u>	<u>Y</u>
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This Record Series Includes Several Different Items Listed Below, All Of Which Fall Under The Jurisdiction Of Ch. 645, Wis. Stats.
[Pv Contact Info: 07/10/1998]

Records Prior To Liquidation:

Policy Records Prior To Liquidation Including Insurance Policy Forms, Cross Reference Materials For Files, And Manual Or Computer Indices To The Files. Also Includes Those Policies For Which No Claim Was Presented Against The Estate (Non-Involved Files) And Files For Which A Claim Was Presented During The Liquidation (Involved Policy Files).

Pre-Liquidation Company Records Of Stock Certificates Held By Individuals, Including Cross-References, Indices Or Ledger Cards For Records And Cancelled Stock Certificates. Data May Include: Stockholder Name; Shares Held, Issued, And Surrendered; And Stock Trading Materials.

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FINANCIAL ANALYSIS AND EXAMINATIONS

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Pre-Liquidation Company General Accounting Information Including: Financial Statement Worksheets And Workpapers; Contingent Commission Calculations; Payroll Records, Including Time Cards And Payroll Registers; Personnel Files; Asset Registers And Studies; Cancelled Checks; Paid Invoice Files; Agent And Agency Contract Files; And General Ledgers And Journals.

Pre-Liquidation Correspondence Including: Relations With State Insurance Departments In Those States Where The Company Was Authorized To Transact Business; Correspondence Files Maintained By The Chief Executive Officer And Administrator; And Correspondence With Rating Bureaus And Suppliers.

Pre-Liquidation Reinsurance Treaties Or Contracts Ceded Or Assumed, Except Those Involving Claims. Includes Correspondence With Reinsurers And Reports Or Analysis Of Reinsurance Coverage Of The Company.

Records Regarding Investments Made By The Company Prior To Liquidation, Including Bank Reports And Bank Records, Reports Of Bonds And Stocks, Brokerage House Reports And Listings Of Securities.

Pre-Liquidation Company Accounting Tax Records Retained Per Ch. 645, Wis. Stats.

General Records Of Company Under Liquidation:

Underwriting Information, Decisions And Sample Policy Forms Pertaining To Special Risks Or Programs; Records Of Rate Service Organizations And Statistical Background Information Used By The Insurer.

Subject Files, Including Company Projects, Lines Of Insurance, Detailed Coverage Statistics, Etc.

Company Accounts Receivable Due During The Liquidation, Including Actions Involving Contracts, Assessments, Accounting Data, Correspondence And Legal Documents Regarding Debts, Moneys Due And Claims Belonging To The Insurer.

Financial Records Accumulated During The Liquidation, Compiled Of Books, General Ledger Journals, List Of Insurer'S Assets, Assessments Records, Paid Invoice Files, Payroll Records, Cancelled Checks, Tax Records And Other Financial Records Of The Receiver.

Company Claim Files Includes Claim Files Of Whatever Nature Against The Company Prior To Liquidation As Well As During The Liquidation As Such Are Received From Ancillary Receivers Or Security Or Guaranty Funds; Proofs Of Files Of Whatever Nature Against The Company Maintained By The Liquidator Including, But Not Limited To, Insurance Claims, Reinsurance Claims, Special Claims, Third Party Claims, Disputed Claims, Claims Of Surety And Secured Creditor'S Claims; Reinsurance Treaties Or Contracts Needed To Settle Claims. Files May Include, Among Other Documentation, Correspondence Regarding The Claim, Copy Of The Letter(S) Of Determination, And Copies Of Dividend Distribution Checks.

Corporate Records; Meeting Minutes Of The Board Of Directors; Corporate Scrapbooks; Staff Meeting Minutes Of The Company; Corporate Policy Statements And Operating Procedures, Manuals And Instructions.

Records Of Liquidator:

Liquidator'S Final Statistical Reports, Including Computer Listings, Microfilm, Or Microfiche Which Indicate The Disposition Of Each Claim In Liquidation, Dividends Paid On Each Claim, And Cancelled Dividend Payment Checks.

Letters And Memoranda Between Special Deputy And The Office Of The Commissioner Of Insurance, Including: Records Evidencing Notice Of Liquidation Or Dissolution Sent To Creditors, Insurance Commissioners, Policyholders, Agents And Potential Claimants; Claimant Listings; Correspondence And Memoranda Regarding The Notification Process; Procedural Files, Including Applications To The Court, Internal Staff Assignments And Reports, Legal Basis Files, Correspondence With Other Affected States, Ancillary Receivers, And State Guaranty Fund Records.

Records Of Legal Action Issued By The Liquidator Or Filed Against The Liquidator During The Course Of The Liquidation, Including: Criminal Actions; Civil Actions For A Voidable Preference; Actions Against Cpa Or Actuarial Firms, Lawyers, Former Officers And Directors, Agents And Reinsurers; And Records Regarding Fraudulent Transfers And Voidable Preferences. Also, Formal Or Informal Statements Taken During The Course Of Liquidation Of Company Officials, Employees, Agents, Stockholders, Or Policyholders Regarding Company Business Policies And Practices.

Liquidator'S Reports To The Court: Audit Reports, Including Audits Performed By Cpa Firms And Independent Auditors; Periodic Reports Submitted To The Court On Claims; Assets And Payments By The Liquidator; And Audits Performed During The Course Of, Or At The Completion Of, The Liquidation Regarding Administrative Expenses And Claims Incurred Against The Liquidator, Etc.

Supersedes Rdas 069/84/005-069/84/013.

Evt=Review And Audit By The Liquidator.

00068000.

EBPA INITIAL/RENEWAL APPLICATIONS

CR+5

DEST

N

MEDIA: PAPER AND IMAGED

INITIAL AND RENEWAL APPLICATIONS FOR EMPLOYEE BENEFIT PLAN ADMINISTRATORS LICENSED UNDER CHAPTER 633, WIS. STATS. THE APPLICATION INCLUDES DEMOGRAPHICS, BIOGRAPHICAL INFORMATION, PERFORMANCE BOND, AND

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FINANCIAL STATEMENTS FOR THE EBPA.

PAPER MEDIA RETAIN UNTIL IMAGED AND QUALITY CONTROL OF IMAGE COMPLETED.
IMAGED DOCUMENT RETAINED FOR RETENTION TIME PERIOD.

CR + 5 YEARS AND DESTROY.

<u>00120000.</u>	<u>LIFE RESERVE VALUATIONS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>
Supporting documentation submitted annually by domestic life insurance companies for life reserve valuation certifications as required by Wis. Stat. § 623.06.				
EVT = Date of report; EVT + 1; Destroy				

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<u>00038000.</u>	<u>GRIEVANCE REPORT</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
Health Maintenance Organizations (HMOs), Limited Service Health Organizations (LSHOs), and Preferred Provider Plans (PPPs) annual reports describing the enrollee grievance procedure and summarizing grievances received and resolved in the previous calendar year as per Wis. Stat. § 632.83 and Wis. Adm. Code Ins 18.06.				
EVENT = Superseded				

<u>00040000.</u>	<u>POLICY AND FORM FILINGS BY RATE SERVICE ORGANIZATIONS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
Policies and forms filed by Rate Service Organizations on behalf of members and subscriber companies to enable insurers to comply with provisions of Wis. Stat. § 631.01 and 631.20 and Wis. Adm. Code Ins 6.05. File includes transmittal letters and related correspondence.				
In order to comply with Wis. Stat. § 137.20, the paper policy and form filing materials will be imaged and subjected to review, to ensure the images of these materials are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the paper documents will be kept on site for 3 months and then destroyed. The electronic records are entered into the System for Electronic Rates & Forms Filing (SERFF) and retained for 10 years.				
EVENT=Supersession or withdrawal				

<u>00041000.</u>	<u>RATE FILINGS BY RATE SERVICE ORGANIZATIONS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
Filings made by Rate Service Organizations on behalf of members and subscriber companies of rate manuals, schedules, minimum rates, class rates, rating schedules or rating plans, underwriting rules, short rate tables, or modifications to any of the foregoing required of insurers. Filings include advisory rates and member company rate filings. Summary of loss and expense experience to aid in determination of compliance with rating law standards, lists of companies furnishing the experience, Wis. Stat. § 625.34, and related correspondence may also be included in the file. Wis. Stat. §625.13 and 625.15 and Wis. Adm. Code Ins 6.05.				
In order to comply with Wis. Stat. § 137.20, the paper rate filing materials will be imaged and subjected to review, to ensure the images of these materials are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the paper documents will be kept on site for 3 months and then destroyed. The electronic records are entered into the System for Electronic Rates & Forms Filing (SERF) and retained for 5 years.				
EVENT = Date of filing				

<u>00042000.</u>	<u>ORGANIZATION / LICENSE OF RATE SERVICE ORGANIZATIONS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
File includes license, articles and bylaws, membership information, and authorization letters for all Rate Service Organizations licensed to do business in Wisconsin per Wis. Stat. § 625.32 and Wis. Adm. Code Ins 6.05.				
In order to comply with Wis. Stat. § 137.20, the paper filing materials will be imaged and subjected to review, to ensure the images of these materials are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the paper documents will be kept on site for 3 months and then destroyed. The electronic records are entered into the State Based System (SBS) and retained for 10 years.				

<u>00043000.</u>	<u>STATISTICAL PLANS FOR RATE SERVICE ORGANIZATIONS</u>	<u>CR+1</u>	<u>DEST</u>	<u>N</u>
Plans required by the Commissioner for data accumulation used to record and report loss and expense experience, reported through Rate Service Organizations licensed to do so, Wis. Stat. § 625.34.				

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In order to comply with Wis. Stat. § 137.20, the paper filing materials will be imaged and subjected to review, to ensure the images of these materials are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the paper documents will be kept on site for 3 months and then destroyed. The electronic records are entered into the State Based System (SBS) and retained for 1 year.

<u>00044000.</u>	<u>RATE SERVICE ORGANIZATIONS EXAMINATION REPORTS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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Reports of the business, affairs, and general condition of Rate Service Organizations, as disclosed by periodic examination prepared by Bureau of Market Regulation staff, and authorized by the Commissioner, Wis. Stat. § 601.42, 601.43, and 601.44.

EVENT=Superseded

<u>00045000.</u>	<u>RATE FILINGS OF PROPERTY AND CASUALTY INSURERS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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Filings of manuals, schedules, minimum rates, class rates, rating schedules or plans, short rate tables and modifications of rate filings, as filed by individual property and casualty insurers. Files are subdivided by lines of insurance and include supporting information, approval and disapproval letters. Loss and expense experience to aid in determination of compliance with rating law standards, Wis. Stat. § 625.34 and related correspondence may also be included in the files. Wis. Stat. § 625.13, 625.15, 625.22, and ch. 631 and Wis. Adm. Code Ins 6.05.

In order to comply with Wis. Stat. § 137.20, the paper rate filing materials will be imaged and subjected to review, to ensure the images of these materials are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the paper documents will be kept on site for 3 months and then destroyed. The electronic records are entered into the System for Electronic Rates & Forms Filing (SERFF) and retained for 5 years.

EVENT = Date of approval or denial

<u>00046000.</u>	<u>DIVIDEND PLAN FILINGS OF PROPERTY AND CASUALTY INSURERS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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Filings of all Dividends declared by property and casualty insurer, including worker's compensation and all other participating policies, as required by Wis. Stat. § 631.51. Files include approval and disapproval letters and related correspondence.

In order to comply with Wis. Stat. § 137.20, the paper filing materials will be imaged and subjected to review, to ensure the images of these material are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the paper documents will be kept on site for 3 months and then destroyed. The electronic records are entered into the System for Electronic Rates & Forms Filing (SERFF) and retained for 5 years.

EVENT = Date of approval or denial

<u>00047000.</u>	<u>ACCIDENT & HEALTH RATE FILINGS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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Individual rating schedules for accident and health insurance policies required to be filed by insurers under Wis. Stat. ch. 625. May also include rates filed for group and blanket insurance.

In order to comply with Wis. Stat. § 137.20, the paper rate filing materials will be imaged and subjected to review, to ensure the images of these materials are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the paper documents will be kept on site for 3 months and then destroyed. The electronic records are entered into the System for Electronic Rates & Forms Filing (SERFF) and retained for 10 years.

EVENT = Superseded

<u>00048000.</u>	<u>MARKET CONDUCT WORKPAPERS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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EXAMINATION WORKPAPERS OF AUDITOR THAT IS COMPILED WHILE EXAMINING LICENSED INSURERS. RECORD SERIES MAY INCLUDE SPREADSHEETS, EXCEPTIONS, CLAIMS MANUALS, UNDERWRITING AND RATING MANUALS, SALES AND MARKETING INFORMATION, AND CORRESPONDENCE.

RETAIN 10 YEARS OR UNTIL SUPERSEDED - WHICHEVER COMES FIRST.

ADOPTED EXAMINATION REPORTS ARE COVERED UNDER ANOTHER RDA.

STATUTORY REFERENCE WIS ADMIN CODE CH..INS 6.13(3)(C) 1 CONFIDENTIALITY OF WORKPAPERS (3) THE OFFICE, UNDER WIS. STAT. CH. 601.465, MAY REFUSE TO DISCLOSURE AND PREVENT ANY PERSON FROM DISCLOSING, IN RESPONSE TO A REQUEST FOR PRODUCTION, DEPOSITION, SUBPOENA, OR OTHERWISE, INFORMATION OBTAINED FROM THE NATIONAL ASSOCIATION OF INSURANCE COMMISSIONERS OR ANOTHER STATE'S INSURANCE DEPARTMENT UNDER PLEDGE OF CONFIDENTIALITY OR FOR THE PURPOSE OF CONDUCTING AN INVESTIGATION OR EXAMINATION OR OBTAINED, PRODUCED OR CREATED IN THE COURSE OF AN INQUIRY UNDER WIS. STAT.CH. 601.42, OR EXAMINATION UNDER WIS.STAT.CH.601.43, THIS PRIVILEGE APPLIES TO INFORMATION OBTAINED, PRODUCED OR CREATED BEFORE OR AFTER THE EFFECTIVE DATE OF WIS. STAT. CH. 601.465, AND REGARDLESS OF WHETHER AN INQUIRY, INVESTIGATION OR EXAMINATION HAS BEEN CONCLUDED, EXCEPT IT DOES NOT APPLY TO A DOCUMENT WHICH IS AN ADOPTED EXAMINATION REPORT.

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Department Name: MARKET REGULATION

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RETENTION: EVENT(10 YEARS OR UNTIL SUPERSEDED + 10 YEARS AND DESTROY CONFIDENTIAL.

Retention Amended From Cr+5 Yrs To Cr+10 Yrs.

<u>00050000.</u>	<u>LIFE INSURANCE RATES AND DIVIDEND ILLUSTRATIONS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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Tables of Rates for Life Insurance, including Credit Life Insurance, required to be filed by Insurers under Wi. Stat. § 631.20.

In order to comply with Wis. Stat. § 137.20, the paper filing materials will be imaged and subjected to review, to ensure the images of these materials are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the paper documents will be kept on site for 3 months and then destroyed. The electronic records are entered into the System for Electronic Rates & Forms Filing (SERFF) and retained for 10 years.

EVENT = Superseded

<u>00051000.</u>	<u>APPROVED INSURER FORM FILINGS</u>	<u>EVT+100</u>	<u>DEST</u>	<u>N</u>
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Approved form filings, rate filings, advertising filings, and actuarial certifications required to be filed by insurers under Wis. Stat. §

Dept #: /310/ Department Name: MARKET REGULATION

RDA # RDA Title Retention Disposition PII

631.20 and Wis. Adm. Code Ins (no suggestions) Filings include policy transmittal form, master policy, endorsements, certificate of readability, if applicable, and certificate of compliance. Lines of insurance covered are Property and Casualty, Accident & Health (Individual, Group and Blanket), and Life (Group, Individual and Annuities).

In order to comply with Wis. Stat. § 137.20, the paper form filing materials will be imaged and subjected to review, to ensure the images of these materials are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the paper documents will be kept on site for 3 months and then destroyed. The electronic records are entered into the System for Electronic Rates & Forms Filing (SERFF) and retained for 100 years.

EVENT = Date of filing

00052000. NON-APPROVED INSURER FORM FILINGS EVT+2 DEST N

Form filings and related correspondence from insurers that are not immediately indicated as approved, deemed approved, or filed by the Commissioner. In order to comply with Wis. Stat. § 631.20 (1), a form filing is deemed approved if it is not disapproved within 30 days after filing, or within a 30-day extension of that period ordered by the commissioner prior to the expiration of the first 30 days. Filings are kept in the bureau until approved, deemed approved, filed, or no correspondence concerning the filing has been received from the insurer for 30 days. If form is approved, deemed approved, or filed, see RDA 00/51/000.

If no correspondence has been received from the insurer within 30 days, in order to comply with Wis. Stat. §137.20, the paper rate filing materials will be imaged and subjected to review, to ensure the images of these materials are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the paper documents will be kept on site for 3 months and then destroyed. The electronic records are entered into the System for Electronic Rates & Forms Filing (SERFF) and retained for 2 years.

EVENT = Date of filing

Dept #: /320/ Department Name: CONSUMER COMPLAINT/MARKET REGULATION

RDA # RDA Title Retention Disposition PII

00035000. COMPLAINT FILES EVT+10 DEST Y

As Insurance complaints are filed with the Commissioner, paper complaint material is scanned into the Complaint System. Each complaint is labeled with year code and numerically starting with 0001 at the beginning of each year. Each complaint file contains all correspondence and records pertaining to that particular file including complaint correspondence, memoranda on complaint investigations and related material. Some complaint files may be referred to legal files, see RDA 000/22/000. In order to comply with Wis. Stat. § 137.20, the paper complaint material will be imaged and subjected to review, to ensure the images of these materials are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the paper documents will be kept on site for 3 months and then confidentially destroyed or returned to the consumer if the documents are original policy documents.

EVENT = Date complaint is closed

Dept #: /400/ Department Name: AGENTS LICENSING

RDA # RDA Title Retention Disposition PII

00033000. Market Shares Reports CR+3 DEST N

Market Shares reports are based on data filed in the insurer annual statement and are generated annually. The reports consist of insurer name, percent of market, and premiums written listed by line of insurance. The generated reports contains only major lines of insurance. Domestic or non-domestic companies are noted by "D" or "N."

Note: Top 20 market shares companies are listed in Commissioner's annual report.

00127000. APPLICATION FOR TEMPORARY AGENT LICENSE EVT+3 DEST Y

APPLICATION (FORM OCI 11-005) OR EQUIVALENT FOR LICENSE AND LICENSE (FORM OCI 11-006) OR EQUIVALENT AUTHORIZING AN INDIVIDUAL TO SOLICIT, NEGOTIATE AND EFFECT CONTRACTS OF INSURANCE, FOR A DECEASED OR DISABLED AGENT. THIS LICENSE IS FOR A TEMPORARY PERIOD NOT TO EXCEED ONE YEAR, S.628.09, WIS. STATS.

FORM OCI 11-005 OR EQUIVALENT IS SCANNED AND IMAGE MAINTAINED ON SYSTEM WITH ORIGINAL PAPER DESTROYED

RDA # RDA Title Retention Disposition PII

AFTER 90 DAYS.
FORM OCI 11-006 OR EQUIVALENT IS RETAINED BY THE INDIVIDUAL.

THE IMAGE IS REMOVED THREE YEARS AFTER NOTIFICATION OF THE DEATH OF THE AGENT.

EVENT = DEATH + 3 YEARS AND DESTROY CONFIDENTIAL.

00128000. **RESIDENT/NONRESIDENT APPOINTMENT/TERMINATION FORM** **EVT+3** **DEST** **Y**

INSURANCE COMPANY FORM OCI11-011 TO BE FILED WITHIN 30 DAYS OF TERMINATION AFFILIATION WITH INSURANCE AGENT(S), S.628.11, WIS. STATS., AND INS 6.57, WIS. ADM. CODE, AND TO PROVIDE IMMUNITY FOR THE INSURER, S. 601.42 (6). FORM ALSO NOTIFIES COMMISSIONER OF POSSIBLE AGENT VIOLATIONS, S.601.42(1)(A), WIS. STATS.

INSURANCE COMPANY FORM OCI11-001 WHEN FILED, BECOMES VALIDATED WHEN THE FORM WAS MAILED.
REF.S.628..11, WIS. STATS. AND INS 6.57, WIS. ADM. CODE.

INSURANCE COMPANIES MAY ALSO SUBMIT ELECTRONIC APPOINTMENT/TERMINATION REQUESTS TO APPOINT OR TERMINATE AGENTS AFFILIATED WITH THEIR COMPANY. THE COMPANY REQUEST IS PROCESSED AND MAINTAINED IN OUR ELECTRONIC DATABASE. INSURANCE COMPANIES ARE ALLOWED TO REPORT ANY NEW APPOINTMENT OR TERMINATION THROUGH SIRCON OR NIPR. THESE ARE SECURE WEBSITES.

THE ELECTRONIC RECORD IS MAINTAINED IN OUR DATABASE FOR THREE YEARS AFTER NOTIFICATION OF THE DEATH OF THE AGENT.

PAPER COPIES ARE ENTERED INTO THE DATABASE AND THE PAPER ORIGINAL MAINTAINED IN A SECURE LOCATION FOR 3 YEARS AND THEN DESTROYED.

00130000. **INSURANCE LICENSE APPLICATION** **EVT+7** **DEST** **Y**

Resident or nonresident application form for original, transfer or expanded license to sell insurance. Includes certification of applicant's qualifications and other information relative to licensure. Licensee may have multiple applications on file. Applications may be pass/fail or deny.

The Electronic document management system was designed to comply with Wis. Adm. Code ch. 12. The current process addresses chi. 12 provisions with processes in the application and written procedures. When indexing, quality control procedures are in place to ensure accessibility, accuracy, authenticity, reliability, legibility and readability.

Paper originals are retained in a secure area for 90 days after verification of indexing and then destroyed confidential. Electronic records are maintained for seven years from the receipt of the application per National Insurance Producer Registry (NIPR) retention requirements.

EVENT = Receipt of application

00131000. **PASS/FAIL EXAM SCORE REPORT** **CR+3** **DEST** **Y**

THE SERIES CONTAINS:

1. MONTHLY EXAMINATION STATISTICS BY TEST CENTER AND INCLUDES NUMBER OF CANDIDATES TESTED BY TYPE OF LICENSE (LINES OF AUTHORITY LOA) THOSE ABSENT, NUMBER AND PERCENTAGE PASS/FAIL. INCLUDES FIRST TIME CANDIDATES AND REPEAT CANDIDATES.

2. A YEARLY ALPHA ATTENDANCE AND SCORE ROSTER WHICH INCLUDES NAMES, DEMOGRAPHIC DATA, EXAM DATE, TEST CENTER, EXAM DESCRIPTION, AND SCORE.

THE CURRENT VENDER IS PEARSON VUE WHICH IS REQUIRED BY CONTRACT TO PROVIDE THIS INFORMATION TO THE OCI AGENT LICENSING SECTION.

DOCUMENTS ARE STORED IN A LOCKED FILE CABINET WITH ACCESS LIMITED TO AGENT LICENSING STAFF.

CR + 3 YEARS AND DESTROY CONFIDENTIAL.

00137000. **CONTINUING EDUCATION WAIVER REQUEST FORMS** **EVT+3** **DEST** **Y**

AGENT REQUEST FOR WAIVER OF CONTINUING EDUCATION REQUIREMENT. MAY INCLUDE AN AGENT STATEMENT, A STATEMENT FROM THE AGENT'S DOCTOR, OR AN STATEMENT FROM ANY BRANCH OF THE ARMED FORCES OR IT'S RESERVE REGARDING AN AGENT'S ACTIVE DUTY. AGENT MUST SUBMITTED FORM OC11I-97 NO LATER THAN 90 DAYS PRIOR TO THE END OF THE CONTINUING EDUCATION COMPLIANCE PERIOD FOR WHICH SUCH WAIVER IS REQUESTED. OCI CAN APPROVE/DISAPPROVE THE AGENT'S REQUEST BASED ON THE GUIDELINES STIPULATED IN INS. 28.05, WIS. ADM. CODE.

PAPER FORMS ARE IMAGED, AND DESTROYED AFTER VERIFICATION. PAPER IS KEPT IN A LOCKED FILE CABINET ACCESSIBLE ONLY BY AGENT LICENSING STAFF UNTIL IMAGED AND VERIFIED. IMAGE IS RETAINED FOR 3 YEARS AFTER NOTIFICATION OF THE DEATH OF AGENT, THEN DELETED FROM THE AGENT SYSTEM. ONLY AGENT LICENSING STAFF HAVE ACCESS TO THE IMAGES.

Dept #: /400/ Department Name: AGENTS LICENSING

RDA #	RDA Title	Retention	Disposition	PII
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EVENT = DEATH + 3 YEARS AND DESTROY CONFIDENTIAL.

<u>00139000.</u>	<u>WITHDRAWN INSURANCE LICENSE APPLICATION</u>	<u>CR+3</u>	<u>DEST</u>	<u>Y</u>
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PRIOR TO ORIGINAL ISSUANCE, AN APPLICATION FOR A PERMANENT RESIDENT/NONRESIDENT AGENT LICENSE MAY BE WITHDRAWN. THIS WRITTEN NOTIFICATION OF WITHDRAWAL REQUEST IF PART OF THE RECORD.

IF THE APPLICATION IS WITHDRAWN, NO ELECTRONIC RECORD EXISTS. THE PAPER APPLICATION INCLUDING DOCUMENTATION AND CORRESPONDENCE ARE MAINTAINED IN A LOCKED STORAGE ROOM WITH ACCESS LIMITED TO TRIEND AGENT LICENSING STAFF, THEN DESTROYED CONFIDENTIALLY AFTER 3 YEARS.

Dept #: /420/ Department Name: ADMINISTRATIVE SERVICES

RDA #	RDA Title	Retention	Disposition	PII
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<u>00135000.</u>	<u>BIENNIAL BUDGET REQUESTS AND ASSOCIATED WORK PAPERS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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THIS RECORD SERIES CONTAINS THE BIENNIAL BUDGET REQUESTS, WORKING PAPERS, COST ESTIMATES, AND OTHER DATA ACCUMULATED IN THE PREPARATION OF THIS AGENCY'S BI-ENNIAL BUDGET SUBMISSION, INCLUDING THE ACTUAL BUDGET SUBMISSION DOCUMENT ITSELF.

Dept #: /430/ Department Name: SERVICE OF PROCESS/DOCUMENT PROCESSING

RDA #	RDA Title	Retention	Disposition	PII
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<u>00032000.</u>	<u>SERVICE OF PROCESS</u>	<u>CR+3</u>	<u>DEST</u>	<u>N</u>
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As described in Wis. Stat. § 601.72 and under procedures specified in Wis. Stat. § 601.73, the Commissioner is the constituted attorney to receive service of summons, notices, orders, pleadings, and all other legal process relating to any court or administrative agency in this state for certain insurers authorized to do business in this state; for surplus lines insurers; for unauthorized insurers, and for nonresident intermediaries.

Records in this series are certificates issued by the Commissioner of Insurance showing admission of service and attached service of process documents as listed in Wis. Stat. § 601.73. Also maintained is a listing in numerical and chronological sequence of all certificates of admission that show the names of parties to the action, attorney, time of service, time of mailing, and to whom mailing is made.