

# 144-FINANCIAL INSTITUTIONS

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
<u>00001000.</u>	<u>EXAMINATION WORKPAPERS</u>	<u>EVT+0/1</u>	<u>DEST</u>	<u>N</u>
	<p>THIS RECORD SERIES INCLUDES HANDWRITTEN CRITIQUES, PENCILED NOTES OF VARIOUS EXAMINATION REPORT PAGES, AND BACKGROUND DATA PROVIDED BY FINANCIAL INSTITUTIONS FOR USE IN COMPILING THE DIVISIONS COMPUTERIZED EXAMINATION REPORT ON THE SPECIFIC INSTITUTION. EXAMINATIONS OF STATE CHARTERED BANKS, TRUST COMPANIES, AND SAVINGS INSTITUTIONS ARE PERFORMED AT LEAST ONCE EVERY 18 MONTHS BY EITHER STATE (DFI) OR FEDERAL REGULATORS UNDER SECTIONS 221.04, 214.725 AND 215.03 WIS. STATUTES. WORKPAPERS ARE SCANNED, QUALITY CHECKED AND RETAINED UNTIL THE SUBSEQUENT EXAMINATION BY DFI AND THEN CONFIDENTIALLY DESTROYED.</p> <p>EVENT = SUPERSEDED BY DFI EXAM + 1 MONTH AND DESTROY CONFIDENTIAL</p>			
<u>00003000.</u>	<u>PROGRAM POLICY CORRESPONDENCE</u>	<u>EVT+5</u>	<u>SHSW</u>	<u>N</u>
	<p>THIS RECORDS SERIES CONSISTS OF SIGNIFICANT CORRESPONDENCE OF A POLICY MAKING NATURE. IT INCLUDES BACKGROUND RESEARCH STUDIES INITIATED BY IN-STATE REGULATORS AND OUT-OF-STATE REGULATORS, INTERPRETATION OF WISCONSIN ADMINISTRATIVE RULES AND WISCONSIN STATUTES REGULATING BANKS, TRUST COMPANIES, SAVINGS INSTITUTIONS AND OTHER FINANCIAL INSTITUTIONS. THE SERIES MAY ALSO INCLUDE APPROVALS, POLICIES AND PROCEDURES, ADMINISTRATIVE DIRECTIVES.</p> <p>EVENT = CLOSED + 5 YEARS AND TRANSFER TO STATE ARVHIES (WHS).</p>			
<u>00006000.</u>	<u>LITIGATIONS &amp; INVESTIGATION</u>	<u>EVT+20</u>	<u>SHSW</u>	<u>Y</u>
	<p>This record series includes information on investigations and lawsuits, including legal documents such as affidavits transcripts, hearing data, administrative court orders, and related correspondence involving the enforcement of administrative code rules and states statutes for the Bureau of Consumer Affairs and Licensed Financial Services, Banking and Mortgage Banking.</p> <p>Retention: retain paper files for 30 days after scanning and quality control/verification has taken place then Destroy Confidential. Scanned files are kept 20 years from the date closed then transferred to the Wisconsin Historical Society.</p> <p>EVENT: CLOSED</p>			
<u>00006A00.</u>	<u>LITIGATION FILES - NON-LICENSED PARTIES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
	<p>THIS RECORD SERIES MAY INCLUDE MEMORANDA ON INVESTIGATIONS, LEGAL DOCUMENTS SUCH AS AFFIDAVITS, TRANSCRIPTS, HEARING DATA, ADMINISTRATIVE AND COURT ORDERS, AND RELATED CORRESPONDENCE THAT MAY PERTAIN TO COMPANIES WHO ARE NOT LICENSED BY THE DIVISION OF BANKING.</p> <p>RECORD SERIES IS CONFIDENTIAL PER WIS. STAT. SS 220.06(3)(B) AND 202.05. THIS SERIES COULD CONTAIN CONFIDENTIAL OR PERSONALLY IDENTIFIABLE INFORMATION SUCH AS SOCIAL SECURITY NUMBER, CREDIT REPORT, CRIMINAL BACKGROUND INFORMATION, BANK ACCOUNT NUMBERS, PERSONAL FINANCIAL STATEMENT, RACE, BIRTH DATE OR FEDERAL EMPLOYEE IDENTIFICATION NUMBER.</p> <p>RETENTION: RETAIN PAPER FILES FOR 30 DAYS AFTER SCANNING AND QUALITY CONTROL/VERIFICATION HAS TAKE PLACE THEN DESTROY CONFIDENTIAL. SCANNED FILES ARE KEPT 10 YEARS FROM THE DATE THE APPEAL PERIOD HAS EXPIRED AND DESTROY CONFIDENTIAL.</p>			
<u>00008000.</u>	<u>LEGAL INTERPRETATIONS &amp; OPINIONS</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>N</u>
	<p>THIS RECORDS SERIES INCLUDES MEMORANDA AND LETTERS INITIATED BY THE AGENCY ON INTERPRETATIONS OF LAW, POLICY, LEGAL OPINIONS, AND RECONFIRMATIONS OF PREVIOUS CONVERSATIONS RELATING TO LEGAL ISSUES.</p> <p>EVENT = CLOSED + 10 YEARS AND TRANSFER TO STATE ARCHIVES (WHS).</p>			
<u>00009000.</u>	<u>STATUTORY LEGISLATION FILES</u>	<u>CR+20</u>	<u>SHSW</u>	<u>N</u>
	<p>THIS RECORD SERIES INCLUDES THE HISTORICAL DOCUMENTATION ON THE CREATION AND ANALYSES OF LEGISLATIVE BILLS WHICH IMPACTS THE DIVISION. THIS SERIES IS NOT A DUPLICATE OF THE LEGISLATIVE REFERENCE BUREAU FILES BUT NOT INCLUDES LEGAL BACKGROUND DOCUMENTATION OF THE DIVISIONS ACTIVITIES IN THE HISTORY OF LEGISLATIVE BILLS AND RELATED CORRESPONDENCE.</p> <p>RETENTION: CR + 20 YEARS AND TRANSFER TO STATE ARVHIES (WHS).</p>			
<u>00014000.</u>	<u>BANKING AND SAVINGS INSTITUTIONS REVIEW BOARD CLOSED FILES</u>	<u>CR+10</u>	<u>DEST</u>	<u>Y</u>
	<p>THIS CONFIDENTIAL RECORD SERIES INCLUDES BACKGROUND INFORMATION FOR REVIEW BOARD MEETINGS. MAY CONTAIN A WIDE VARIETY OF CONFIDENTIAL INFORMATION AND PERSONALLY IDENTIFIABLE INFORMATION SUCH AS FINANCIAL AND BIOGRAPHICAL INFORMATION ON APPLICANTS.</p>			

THIS RECORDS SERIES ALSO INCLUDES THE CONFIDENTIAL RECORDS ON APPEALS, REVIEWS OF ORDERS OF THE DIVISION, CORRESPONDENCE, LEGAL DATA AND RELATED MATTERS PER 220.035, 214.78, 214.785, AND 215.04, STATS.

THE BANKING REVIEW BOARD, SAVINGS BANK REVIEW BOARD, AND SAVINGS AND LOAN REVIEW BOARD ARE GOVERNED BY SECTIONS 220.035, 214.78, 214.785, AND 215.04, STATS., RESPECTIVELY. FINAL ORDERS AND DETERMINATIONS ARE SUBJECT TO JUDICIAL REVIEW UNDER CHAPTER 227, STATS. IN ADDITION, THE BANKING REVIEW BOARD, SAVINGS BANK REVIEW BOARD, AND SAVINGS AND LEAN REVIEW BOARD, ADVISES AND REVIEWS THE ACTS AND DECISIONS OF THE DIVISIONS. MAY INCLUDE BOTH SCANNED AND PAPER RECORDS.

CR + 10 YEARS AND DESTROY CONFIDENTIAL.

<b><u>00015000.</u></b>	<b><u>BANKING AND SAVINGS INSTITUTIONS REVIEW BOARD - PUBLIC RECORDS</u></b>	<b><u>CR+20</u></b>	<b><u>SHSW</u></b>	<b><u>N</u></b>
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THIS RECORD SERIES INCLUDES AGENDA, MEETING NOTICES, MINUTES AND BOARD DECISIONS AND ORDERS.

THIS RECORDS SERIES ALSO INCLUDES THE PUBLIC RECORDS ON APPEALS, REVIEWS OF ORDERS OF THE DIVISION, CORRESPONDENCE, LEGAL DATA AND RELATED MATTERS PER, 220.035, 214.78, 214.785, AND 215.04, STATS.

THE BANKING REVIEW BOARD, SAVINGS BANK REVIEW BOARD, AND SAVINGS AND LOAN REVIEW BOARD ARE GOVERNED BY SECTIONS 220.035, 214.78, 214.785, AND 215.04, STATS, RESPECTIVELY. FINAL ORDERS AND DETERMINATIONS ARE SUBJECT TO JUDICIAL REVIEW UNDER CHAPTER 227, STATS. IN ADDITION, THE BANKING REVIEW BOARD, SAVINGS BANK REVIEW BOARD, SAVINGS BANK REVIEW BOARD AND SAVINGS LOAN REVIEW BOARD, ADVISES AND REVIEWS THE ACTS AND DECISIONS OF THE DIVISIONS. RECORDS MAY BE PAPER OR SCANNED.

CR + 20 YEARS AND TRANSFER TO STATE ARCHIVE (WHS)

<b><u>00020000.</u></b>	<b><u>BONDS AND BOND CANCELLATIONS</u></b>	<b><u>EVT+1</u></b>	<b><u>DEST</u></b>	<b><u>N</u></b>
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FIDELITY BONDS FOR OFFICERS AND EMPLOYEES OF ALL STATE CHARTERED BANKS, SAVINGS BANKS, AND SAVINGS AND LOANS ARE REQUIRED BY WIS. STAT 224.06(1), 214.34(1), AND 215.11(1). IN LIEU OF INDIVIDUAL BONDS, THE DIVISION MAY ACCEPT A SCHEDULE OR BLANKET BOND WHICH COVERS ALL EMPLOYEES AND OFFICERS OF ANY BANK OR SAVINGS INSTITUTION. ALL BONDS MUST BE IN THE FORM AS PRESCRIBED BY THE DIVISION. SURETIES ARE REQUIRED TO GIVE AT LEAST 10 DAYS' NOTICE OF CANCELLATION, BY REGISTERED MAIL, TO THE DIVISION UNDER WIS. STAT. 224.06(4) AND 215.11(4), AND 30 DAY WRITTEN NOTICE UNDER WIS. STAT. 214.34(1).

WISCONSIN STAT 215.11(2), REQUIRES THE SURETY BONDS FOR EACH STATE CHARTERED SAVINGS AND LOAN TO BE FILED WITH THE DIVISION WITH 10 DAYS AFTER APPROVAL BY THE BOARD.

RETENTION: EVENT(TERMINATED) + 1 YEAR AND DESTROY CONFIDENTIAL

<b><u>00030000.</u></b>	<b><u>BANK AND S&amp;L'S HOLDING COMPANY FILES</u></b>	<b><u>EVT+5</u></b>	<b><u>DEST</u></b>	<b><u>N</u></b>
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THIS RECORDS SERIES INCLUDES CONFIDENTIAL AND NON-CONFIDENTIAL COPIES OF BANK HOLDING COMPANY APPLICATIONS AND CORRESPONDENCE FURNISHED TO THE DIVISIONS UNDER SECTIONS 221.0526, 214.085, 214.09, STATS. THIS SERIES ALSO INCLUDES APPLICATIONS, COMPLIANCE REPORTS, CRA RATINGS, DEPOSIT INFORMATION, NOTICE REQUIREMENTS, ENFORCEMENT ACTIONS, EXAMINATIONS AND RELATED CORRESPONDENCE, AUTHORIZED BY SECTIONS 221.0901, 221.0903, 214.09, 214.16, 214.165, 214.17(4), AND 215.36, STATS.

IN ADDITION, INCLUDES ALL DOCUMENTATION SUPPORTING THE ESTABLISHMENT OF A SAVINGS AND LOAN HOLDING COMPANY, I.E., A CORPORATION OWNING ONE OR MORE STATE-CHARTERED SAVINGS AND LOAN ASSOCIATIONS AS PROVIDED UNDER 215.64, STATS. RECORDS INCLUDE ANNUAL MEETING NOTICE, APPLICATION FOR CONVERSION WITH AMENDMENTS AND EXHIBITES, APPRAISAL, SECURITIES REGISTRATION, PROSPECTUS, SUBSCRIPTION OFFERING, AND CORRESPONDENCE.

FILES MAY BE SUBMITTED ELECTRONICALLY AS SCANNED PDF'S.

EVENT = CLOSED + 5 YEARS AND DESTROY CONFIDENTIAL.

<b><u>00031000.</u></b>	<b><u>FEDERAL EXAMINATION REPORTS-BANKS,TRUST COMPANIES, HOLDING C</u></b>	<b><u>EVT+5</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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THIS RECORD SERIES INCLUDES CONFIDENTIAL FEDERAL EXAMINATION REPORTS OF STATE-CHARTERED BANKS, TRUST COMPANIES, AND SAVINGS INSTITUTIONS AS PROVIDED UNDER SECTIONS 220.04, 214.725, AND 215.03(2), STATS. THIS SERIES INCLUDES FEDERAL HOLDING COMPANY INSPECTION REPORTS AND EXAMINATION REPORTS OF THE FEDERAL DEPOSIT INSURANCE CORPORATION, FEDERAL RESERVE BANK, AND OFFICE OF THRIFT SUPERVISION. REPORTS ARE SUBMITTED ELECTRONICALLY AS PDF'S.

EVENT = SUPERSEDED + 5 YEARS AND DESTROY CONFIDENTIAL.

<b><u>00032A00.</u></b>	<b><u>STATE EXAMINATION REPORTS-BANKS,TRUST COMPANIES AND SAVINGS</u></b>	<b><u>CR+15</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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THIS RECORDS SERIES INCLUDES EXAMINATION REPORTS OF STATE-CHARTERED BANKS, TRUST COMPANIES, AND FIDUCIARIES UNDER SECTION 223.105, STATS., AND SAVINGS INSTITUTIONS WITH CONFIDENTIAL RECORDS OF PERSONAL ACCOUNTS, AS PROVIDED UNDER SECTIONS 220.04,

214.725, AND 215.03(2), STATS. DOCUMENTS INCLUDE STATE EXAMINATION AUDITS, SPECIAL INVESTIGATION REPORTS, CRITIQUES AND RESPONSES, AND SPECIAL EXAMINATIONS.

REPORTS ARE SUBMITTED ELECTRONICALLY IN PDF FORMAT.

CR + 15 YEARS AND DESTROY CONFIDENTIAL.

<b><u>00034A00.</u></b>	<b><u>LICENSE RENEWAL APPLICATIONS</u></b>	<b><u>EVT+3</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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THIS RECORD SERIES INCLUDES A RENEWAL APPLICATION AND SUPPORTING DOCUMENTATION THAT MAY INCLUDE A FINANCIAL STATEMENT, LIST OF CURRENT OFFICERS/DIRECTORS AND A LICENSE FEE. LICENSEES ARE REQUIRED BY STATUTE TO RENEW LICENSES ON A REGULAR BASIS.

THE DEPARTMENT SUPERVISES THE FOLLOWING ENTITIES LICENSED UNDER WISCONSIN STATUTES, SS: WIS. STAT. 138.09 LOAN COMPANIES; 138.14 PAYDAY LENDERS; 224.725 LOAN ORIGINATORS; 217 SELLER OF CHECKS; 218.0101-218.0163 SALES FINANCE COMPANIES & DEALERS; 218.02 ADJUSTMENT SERVICE COMPANIES; 218.04 COLLECTION AGENCIES AND SOLICITORS/COLLECTORS; 218.05 COMMUNITY CURRENCY EXCHANGES; 224.72 MORTGAGE BANKERS AND MORTGAGE BROKERS.

RECORD SERIES IS CONFIDENTIAL PER WIS. STAT. SS 220.06(3)(B) AND 202.05. THIS SERIES COULD CONTAIN PERSONALLY IDENTIFIABLE INFORMATION SUCH AS SOCIAL SECURITY NUMBER, CREDIT REPORT, CRIMINAL BACKGROUND INFORMATION, BANK ACCOUNT NUMBERS, PERSONAL FINANCIAL STATEMENT, RACE, BIRTH DATE OR FEDERAL EMPLOYEE IDENTIFICATION NUMBER.

RETENTION: RETAIN PAPER APPLICATIONS FOR 30 DAYS AFTER SCANNING AND QUALITY CONTROL/VERIFICATION HAS TAKEN PLACE THEN DESTROY CONFIDENTIAL. SCANNED APPLICATIONS ARE KEPT 3 YEARS FROM THE DATE SUPERSEDED AND DESTROY CONFIDENTIAL.

<b><u>00037000.</u></b>	<b><u>EXAMINATION REPORTS OF LICENSEES</u></b>	<b><u>EVT+10</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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EACH OF THE RELATED LICENSE STATUTES AUTHORIZE THE DIVISION TO EXAMINE THE BOOKS, RECORDS AND ACCOUNTS OF THE LICENSEE FOR VIOLATIONS OF APPLICABLE WISCONSIN STATUTES OR ADMINISTRATIVE CODE.

THIS RECORD SERIES INCLUDES EXAMINATION REPORTS FOR THE FOLLOWING LICENSEES AS REGULATED UNDER THE REFERENCED WIS. STATUTES: SS 218.05 COMMUNITY CURRENCY EXCHANGES; SS 138.09 LOAN COMPANIES; SS 218.0101-218.1263 SALES FINANCE COMPANIES, INCLUDING DEALERS; SS 218.02 ADJUSTMENT SERVICE COMPANIES; SS 218.04 COLLECTION AGENCIES AND SOLICITORS/COLLECTORS; SS 224.72 MORTGAGE BANKERS AND MORTGAGE BROKERS; SS 138.14 PAYDAY LENDERS; SS 217 SELLER OF CHECKS; SS 138.12 INSURANCE PREMIUM FINANCE COMPANIES.

RECORD SERIES IS CONFIDENTIAL PER WIS. STAT. SS 220.06(3)(B). THIS SERIES COULD CONTAIN CONFIDENTIAL OR PERSONALLY IDENTIFIABLE INFORMATION SUCH AS A SOCIAL SECURITY NUMBER, CREDIT REPORT, CRIMINAL BACKGROUND INFORMATION, BANK ACCOUNT NUMBERS, PERSONAL FINANCIAL STATEMENT, RACE, BIRTH DATE, OR FEDERAL EMPLOYEE IDENTIFICATION NUMBER.

RETENTION: RETAIN PAPER REPORTS FOR 30 DAYS AFTER SCANNING AND QUALITY CONTROL/VERIFICATION HAS TAKEN PLACE THEN DESTROY CONFIDENTIAL. SCANNED REPORTS ARE KEPT 10 YEARS FROM THE DATE LICENSE IS TERMINATED OR EXAM IS SUPERSEDED.

<b><u>00038000.</u></b>	<b><u>ANNUAL REPORT OF LICENSED COMPANIES</u></b>	<b><u>EVT+10</u></b>	<b><u>SHSW</u></b>	<b><u>Y</u></b>
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PURSUANT TO THE NOTED SECTIONS OF THE WIS. STATUTES, LICENSEES ARE REQUIRED TO FILE ANNUAL REPORTS WITH THE DEPARTMENT OF FINANCIAL INSTITUTIONS. COMPLETED REPORTS DISCLOSE THE VOLUME OF BUSINESS TRANSACTED IN WISCONSIN, AND OTHER RELEVANT INFORMATION REQUESTED BY THE DIVISION.

THE FOLLOWING LICENSEES AS REGULATED UNDER THE REFERENCED STATUTES:

- WIS. STAT 138.09 LOAN COMPANIES
- WIS. STAT 138.12 INSURANCE PREMIUM FINANCE COMPANIES
- WIS. STAT 138.14 PAYDAY LENDERS
- WIS. STAT 217 SELLER OF CHECKS
- WIS. STAT 218.02 ADJUSTMENT SERVICE COMPANIES
- WIS. STAT 218.04 COLLECTION AGENCIES
- WIS. STAT 218.05 COMMUNITY CURRENCY EXCHANGES

RETENTION: RETAIN PAPER REPORTS FOR 30 DAYS AFTER SCANNING AND QUALITY CONTROL/VERIFICATION HAS TAKEN PLACE THEN DESTROY CONFIDENTIAL. SCANNED REPORTS ARE KEPT 10 YEARS FROM THE DATE SUPERSEDED AND TRANSFERRED TO STATE ARCHIVES (WHS).

<b><u>00043000.</u></b>	<b><u>STATE BANK, SAVINGS BANK, AND SAVINGS &amp; LOAN FILES</u></b>	<b><u>EVT+20</u></b>	<b><u>SHSW</u></b>	<b><u>N</u></b>
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THIS SERIES INCLUDES THE FOLLOWING RECORDS FOR STATE BANKS, TRUST COMPANIES, FIDUCIARIES UNDER 223.105 STATS., SAVINGS BANKS, AND SAVINGS & LOANS: CERTIFICATE OF AUTHORITY TO COMMENCE BUSINESS OR CHARTER, CANCELLATION OF CHARTER DOCUMENT, ARTICLES OF INCORPORATION AND AMENDMENTS TO ARTICLES OF INCORPORATION, BY LAWS AND AMENDMENTS TO BYLAWS. ALSO INCLUDES APPLICATIONS WITH NONCONFIDENTIAL

SUPPORTING DOCUMENTS FOR NEW STATE BANKS, BRANCHES, SHARE EXCHANGES, MERGERS, INTERIM INSTITUTIONS, OFFICE RELOCATION (NO STATUTE CITE), AND TRUST POWERS, AS PROVIDED UNDER SECTIONS 221.0202, 221.0302, 221.0701, 221.0702, 221.0704, AND 221.0316, STATS.; APPLICATIONS OF NEW SAVINGS BANKS, BRANCHES, LIMITED OFFICES, MERGERS, INTERIM INSTITUTIONS, ORGANIZATIONAL CONVERSION, OFFICE RELOCATION, AND TRUST POWERS, AS PROVIDED UNDER SECTIONS 214.24, 214.06, 214.04(26), 214.62, 214.655, 214.685, 214.715(4), AND 214.03; AND BRANCHES, LIMITED OFFICES, EXTENDED OFFICES, ABSORPTIONS, ORGANIZATIONAL CONVERSION, OFFICE RELOCATION, AND TRUST POWERS, AS PROVIDED UNDER SECTIONS 215.03(8), 215.13(36), 215.13(47), 215.63 AND 215.73, 215.58, 215.03(7) AND 215.02(18).

THE APPLICATION FILES INCLUDE THE INITIAL APPLICATION, RESOLUTIONS, MERGER AGREEMENTS, SHAREHOLDER NOTICES, FEDERAL DEPOSIT INSURANCE CORPORATION, AND/OR FEDERAL RESERVE APPROVALS. IN THE CASE OF A MERGER WHERE RESULTANT BANK IS A STATE CHARTERED INSTITUTION, THE APPLICABLE APPLICATION FILES ARE TRANSFERRED TO THE EXISTING INSTITUTION AND DO NOT STAY WITH THE INSTITUTION AND DO NOT STAY WITH THE INSTITUTION FILE THAT IS CLOSED.

RETENTION: EVENT(CLOSED) + 20 YEARS AND TRANSFER TO STATE ARCHIVES(WHS)

<b><u>00085000.</u></b>	<b><u>DENIED OR WITHDRAWN APPLICATIONS</u></b>	<b><u>EVT+10</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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THIS RECORD SERIES INCLUDES ORIGINAL APPLICATIONS AND RELATED CORRESPONDENCE, ALONG WITH THE DECISION DENYING OR WITHDRAWING THE APPLICATION FOR THE LICENSE TYPES LISTED BELOW.

- WIS. STAT 138.09 LOAN COMPANIES
- WIS. STAT 138.12 INSURANCE PREMIUM FINANCE COMPANIES
- WIS. STAT 138.14 PAYDAY LENDERS
- WIS. STAT 217 SELLER OF CHECKS
- WIS. STAT 218.02 ADJUSTMENT SERVICE COMPANIES
- WIS. STAT 218.04 COLLECTION AGENCIES
- WIS. STAT 218.05 COMMUNITY CURRENCY EXCHANGES
- WIS. STAT 218.0101 - 218.0163 SALES FINANCE COMPANIES
- WIS STAT 224.72 MORTGAGE BANKERS AND MORTGAGE BROKERS
- WIS. STAT 224.725 MORTGAGE LOAN ORIGINATORS

RECORD SERIES IS CONFIDENTIAL PER WIS. STAT SS 220.06(3)(B). THIS SERIES CONTAINS CONFIDENTIAL OR PERSONALLY IDENTIFIABLE INFORMATION SUCH AS A SOCIAL SECURITY NUMBER, CREDIT REPORT, CRIMINAL BACKGROUND INFORMATION, BANK ACCOUNT NUMBERS, PERSONAL FINANCIAL STATEMENT, RACE, BIRTH DATE, OF FEDERAL EMPLOYEE IDENTIFICATION NUMBER.

RETENTION: RETAIN PAPER APPLICATIONS FOR 30 DAYS AFTER SCANNING AND QUALITY CONTROL/VERIFICATION HAS TAKEN PLACE THEN DESTROY CONFIDENTIAL. SCANNED APPLICATIONS ARE KEPT 10 YEARS FROM THE DATE DENIED OR WITHDRAWN THEN DESTROY CONFIDENTIAL.

<b><u>00086000.</u></b>	<b><u>LICENSEE FILES</u></b>	<b><u>EVT+10</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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THIS SERIES CAN INCLUDE, BUT IS NOT LIMITED TO, THE FOLLOWING RECORDS FOR THE LICENSEE: INITIAL APPLICATIONS WITH SUPPORTING DOCUMENTATION THAT MAY INCLUDE FINANCIAL RESPONSIBILITY OF APPLICANT AND QUALIFICATIONS OF OFFICER/DIRECTORS; CORRESPONDENCE; FORMS; LITIGATION (INCLUDING MEMORANDA ON INVESTIGATIONS, LEGAL DOCUMENTS SUCH AS AFFIDAVITS, TRANSCRIPTS, HEARING DATA, ADMINISTRATIVE/COURT ORDERS AND RELATED CORRESPONDENCE); THE DIVISION'S FINDINGS LEADING TO THE DEPARTMENT TAKEOVER OR LIQUIDATION OF A LICENSEE (INCLUDING NOTICES OF TAKEOVER, PROOFS OF CLAIMS AND THE COURT'S FINAL ORDER OF DISTRIBUTION OF ASSETS); SOLICITOR/COLLECTOR APPLICATIONS; QUARTERLY REPORTS; FINANCIAL STATEMENTS, INSURANCE POLICIES. THE COMPANY IS CLOSED WHEN THEIR LICENSE IS TERMINATED OR SURRENDERED.

RECORD SERIES IS CONFIDENTIAL PER WIS. STAT SS 220.06(3)(B). THIS SERIES COULD CONTAIN CONFIDENTIAL OR PERSONALLY IDENTIFIABLE INFORMATION SUCH AS SOCIAL SECURITY NUMBER, CREDIT REPORT, CRIMINAL BACKGROUND INFORMATION, BANK ACCOUNT NUMBERS, PERSONAL FINANCIAL STATEMENT, RACE, BIRTH DATE OR FEDERAL EMPLOYEE IDENTIFICATION NUMBER.

RETENTION: RETAIN PAPER FILES FOR 30 DAYS AFTER SCANNING AND QUALITY CONTROL/VERIFICATION HAS TAKEN PLACE THEN DESTROY CONFIDENTIAL. SCANNED FILES ARE KEPT 10 YEARS FROM THE DATE CLOSED AND DESTROY CONFIDENTIAL.

<b><u>00093000.</u></b>	<b><u>GENERAL CORRESPONDENCE</u></b>	<b><u>EVT+3</u></b>	<b><u>DEST</u></b>	<b><u>N</u></b>
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THIS RECORDS SERIES INCLUDES CORRESPONDENCE WITH TRADE ORGANIZATIONS, FEDERAL AND STATE REGULATORS, NATIONAL BANKS, FEDERAL ASSOCIATIONS, FINANCIAL INSTITUTIONS OF OTHER STATES, OTHER MISCELLANEOUS CORRESPONDENCE INCLUDING PERIODICALS OF STATE AND FEDERAL AGENCIES, BULLETINS, DIRECTIVES, REPORTS AND NEWSLETTERS, AND SURVEY RESULTS AND RESPONSES.

RECORDS MAY BE SCANNED IN PDF AND STORED ELECTRONICALLY.

EVENT = CLOSED + 3 YEARS AND DESTROY.

RDA #	RDA Title	Retention	Disposition	PII
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<b>00112000.</b>	<b><u>CHARTER CONVERSIONS TO NATIONAL/FEDERAL CHARTERS OR ABSORP</u></b>	<b><u>EVT+5</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
<p>THIS RECORDS SERIES INCLUDES RECORDS OF CHARTER CONVERSIONS WHERE THE RESULTANT INSTITUTION IS A NATIONAL BANK, FEDERAL SAVINGS BANK, OR FEDERAL ASSOCIATION, AS PROVIDED UNDER SECTIONS 221.0217, 214.68, 215.57, AND 215.77, STATS.; AND OF MERGERS OR ABSORPTIONS WHERE THE RESULTANT INSTITUTION IS A NATIONAL BANK, FEDERAL SAVINGS BANK, OR FEDERAL ASSOCIATION, AS PROVIDED UNDER 221.0703, 214.155, 215.63, AND 215.73, STATS.</p> <p>RETENTION: EVENT(CONVERSION OR ABSORPTION) + 5 YEARS AND DESTROY CONFIDENTIAL</p>				

<b>00131000.</b>	<b><u>NON-LICENSED PARTIES - CORRESPONDENCE FILE</u></b>	<b><u>EVT+10</u></b>	<b><u>SHSW</u></b>	<b><u>N</u></b>
<p>THIS RECORD SERIES INCLUDES CORRESPONDENCE WITH NON-LICENSED ENTITIES. THIS TYPE OF CORRESPONDENCE MAY INCLUDE PRECEDENT SETTING MATTERS RESULTING FROM THE DEPARTMENT'S INTERPRETATION OF STATUTES.</p> <p>RETENTION: RETAIN PAPER FILES FOR 30 DAYS AFTER SCANNING AND QUALITY CONTROL/VERIFICATION HAS TAKE PLACE THEN DESTROY CONFIDENTIAL. SCANNED FILES ARE KEPT 10 YEARS FROM THE DATE CLOSED AND TRANSFERRED TO STATE ARCHIVES (WHS).</p>				

<b>00133000.</b>	<b><u>COMPLAINTS AND INQUIRIES</u></b>	<b><u>EVT+7</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
<p>COMPLAINTS AND INQUIRIES RECEIVED BY THE DEPARTMENT &amp;/OR DIVISION OF BANKING WHERE ACTION IS AUTHORIZED BY WIS. STATS. 426.104(1) (A) &amp; (B); AND/OR VARIOUS LICENSING/REGULATING STATUTES. THE COMPLAINTS AND INQUIRIES INVOLVE BOTH LICENSEES/REGISTRANTS AND NON-LICENSEES AND TYPICALLY INVOLVE COMPANIES SUCH AS BANKS, LOAN COMPANIES, ADJUSTMENT SERVICE COMPANIES, COLLECTION AGENCIES, MOTOR VEHICLE DEALERS, MORTGAGE BANKERS, CHARITABLE ORGANIZATIONS AND SCAMS.</p> <p>THE COMPLAINTS AND INQUIRIES INCLUDE THOSE: INVESTIGATED BY THE DIVISION OF BANKING, RECEIVED "FOR INFORMATION ONLY" PURPOSES, AND REFERRED TO OTHER GOVERNMENTAL AGENCIES BECAUSE THE COMPLAINT/INQUIRY WOULD BE MORE APPROPRIATELY HANDLED BY A DIFFERENT AGENCY.</p> <p>THIS SERIES MAY CONTAIN CONFIDENTIAL OR PERSONALLY IDENTIFIABLE INFORMATION SUCH AS SOCIAL SECURITY NUMBER, CREDIT REPORTS, BANK ACCOUNT NUMBER, PERSONAL FINANCIAL STATEMENT, RACE OR BIRTH DATES.</p> <p>RECORD SERIES CONTAINS CONTENT THAT ACCESS IS PROTECTED UNDER WISCONSIN STAT. 220.06</p> <p>RETENTION: RETAIN PAPER DOCUMENTS 30 DAYS AFTER SCANNED/QUALITY CONTROL THEN DESTROY CONFIDENTIAL. SCANNED/ELECTRONIC DOCUMENTS ARE KEPT FOR 7 YEARS AFTER FILE IS CLOSED/FINAL DECISION.</p>				

Dept #: /1100/ Department Name: ADMINISTRATION

RDA #	RDA Title	Retention	Disposition	PII
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<b>00142000.</b>	<b><u>STATEMENTS OF ECONOMIC INTEREST</u></b>	<b><u>EVT+3</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
<p>RECORDS CONSIST OF STATEMENTS OF ECONOMIC INTERESTS FOR ALL COVERED EMPLOYEES OR OTHER EMPLOYEES DESIGNATED BY THE DIVISION ADMINISTRATOR. THE STATEMENTS INCLUDE INFORMATION RELATED TO BUSINESS RELATIONSHIPS WITH FINANCIAL INSTITUTIONS AND HOLDING COMPANIES FOR THE EMPLOYEE AND COVERING HIS OR HER IMMEDIATE FAMILY INCLUDING INFORMATION REGARDING SECURITIES HOLDINGS AND TRANSACTIONS. INFORMATION IS COLLECTED ON FORMS PRESCRIBED BY THE DEPARTMENT OF FINANCIAL INSTITUTIONS AND THE OFFICE OF CREDIT UNIONS.</p> <p>EACH EMPLOYEE COMPLETES A SWORN STATEMENT OF INTEREST WITHIN 30 DAYS OF COMMENCING EMPLOYMENT AND ANNUALLY AS OF DECEMBER 31ST DISCLOSING PAST YEAR INFORMATION RELATED TO BUSINESS RELATIONSHIPS.</p> <p>EVENT = SUPERSEDED</p>				

Dept #: /2200/ Department Name: BANKING & SAVINGS INST

RDA #	RDA Title	Retention	Disposition	PII
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<b>00007000.</b>	<b><u>LITIGATION FILES - BANKS</u></b>	<b><u>EVT+25</u></b>	<b><u>SHSW</u></b>	<b><u>N</u></b>
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RDA #	RDA Title	Retention	Disposition	PII
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THIS RECORD SERIES INCLUDES ADMINISTRATIVE OR COURT ACTIONS IMPACTING THE BANKS DIVISION. RECORDS CONTAINED IN THIS SERIES INCLUDES MEMORANDA ON INVESTIGATIONS, STATEMENTS OF FACT, HEARING TRANSCRIPTS, HEARING RECORDS, EVIDENCE, RELATED CORRESPONDENCE FINDINGS OF FACT, CONCLUSIONS OF LAW AND ORDERS OF BOTH THE DIVISION OF BANKING AND THE COURTS.

RETENTION: EVENT(WHEN CASE HAS CLOSED) + 25 YEARS AND TRANSFER TO STATE ARCHIVES(WHS)

<u>00019000.</u>	<u>LISTS OF STOCKHOLDERS AND REPORTS OF TRANSFERS OF BANK STOCK</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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THIS SERIES IS A REPORT LISTING EACH STOCKHOLDER OF A STATE CHARTERED BANK, THE ADDRESS OF THE STOCKHOLDER, AND NUMBER OF SHARES HELD BY STOCKHOLDER. THE LISTS ARE FILED BY STATE BANKS AS REQUIRED BY SECTION 221.1002(4), STATS. UPDATES TO THE LISTS OF STOCKHOLDERS ARE MADE BY MEANS OF REPORTS OF TRANSFERS OF BANK STOCK. SECTION 221.0525, STATS., REQUIRES THE REPORT BE SENT TO THE DIVISION WITHIN 3 DAYS AFTER THE TRANSFER IF THE TRANSFER IS OF AT LEAST 5% OF THE OUTSTANDING SHARES OF THE BANK. THE STOCKHOLDERS LIST AND REPORTS OF TRANSFER OF BANK STOCK CAN BE CONFIDENTIALLY DESTROYED WHEN SUPERSEDED BY A MORE CURRENT LIST OF STOCKHOLDERS AS REQUESTED UNDER SECTION 221.1002(4).

RETENTION: EVENT(WHEN SUPERSEDED OR CLOSED) + 5 YEARS AND DESTROY CONFIDENTIAL

<u>00029000.</u>	<u>WITHDRAWN OR DENIED APPLICATION FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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THIS RECORD SERIES INCLUDES ORIGINAL APPLICATIONS FILED UNDER CHAPTERS 214, 215 AND 221 WHICH WERE EITHER WITHDRAWN BY THE APPLICANT OR DENIED BY THE DIVISION. DOCUMENTATION MAY CONSIST OF THE DIVISION'S DECISION ON A DENIED APPLICATION WHICH MAY INCLUDE CONFIDENTIAL INFORMATION ON STATE CHARTERED FINANCIAL INSTITUTIONS, EXHIBITS, SPECIAL INVESTIGATIONS REPORTS AND RELATED CORRESPONDENCE, AND PERSONALLY IDENTIFIABLE INFORMATION SUCH AS SOCIAL SECURITY NUMBER, CREDIT REPORT CRIMINAL BACKGROUND INFORMATION, BANK ACCOUNT NUMBERS, PERSONAL FINANCIAL STATEMENT, RACE, BIRTHDATE, OR FEDERAL EMPLOYEE IDENTIFICATION NUMBER. THIS SERIES WILL BE RETAINED 10 YEARS FROM THE DATE THE APPLICATION WAS WITHDRAWN OR THE DATE OF DENIAL BY THE DIVISION.

EVENT = DATE WITHDRAWN OR DENIED + 10 YEARS AND DESTROY CONFIDENTIAL.

<u>00043A00.</u>	<u>STATE BANK, SAVINGS BANK, AND SAVINGS &amp; LOAN FILES-CONFIDENTIAL</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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This records series includes the following records for state banks, trust companies, fiduciaries under Wis. Stat. § 223.105, savings banks, and savings & loans.

Confidential supporting documents for applications of new state banks, branches, share exchanges, mergers, interim institutions, office relocation (no statute cite), and trust powers, as provided under Wis. Stat. §§ 221.0202, 221.0302, 221.0701, 221.0702, 221.0704, and 221.0316; applications of new savings banks, branches, limited offices, mergers, interim institutions, organizational conversion, office relocation, and trust powers, as provided under Wis. Stat. §§ 214.24, 214.06, 214.04(26), 214.62, 214.655, 214.684, 214.715(4) and 214.03; and branches, limited offices, extended offices, absorptions, organizational conversion, office relocation, and trust powers, as provided under Wis. Stat. §§ 215.03(8), 215.13(47), 215.63 and 215.73, 215.58, 215.03(7) and 215.02(18).

Record Series is confidential per Wis. Stat. §220.06. This series could contain confidential or personally identifiable information such as social security number, credit report, criminal background information, bank account numbers, personal financial statement, race, birthdate or federal employee identification number.

Retain paper files for 30 days after scanning and quality control/verification has taken place then Destroy Confidential.

EVENT = Facility ceases to exist

<u>00094000.</u>	<u>CORRESPONDENCE - STATE CHARTERED FINANCIAL INSTITUTIONS</u>	<u>CR+5</u>	<u>DEST</u>	<u>N</u>
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This record series includes correspondence with state chartered banks, savings banks, and savings and loan associations, including examination related and routine correspondence found in the institutions correspondence file.

Retention: Retain paper files for 30 days after scanning and quality control/verification has taken place then destroy. Scanned files are kept from the creation date and then destroy.

<u>00098000.</u>	<u>UNCLAIMED LIQUIDATED ASSOCIATION FUND RECORDS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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This records series includes records of unclaimed voluntarily/involuntary liquidated savings association funds filed under Wis. Stat. § 215.32. Records include final examinations, final inventory reports, bylaws and articles of incorporation, general correspondence regarding claimants, claims paid and pending, residual assets, records pertaining to money held in trust, dividends, claims turned over to the state treasurer, open claims and related materials.

Record Series is confidential per Wis. Stat. §§ 214.755, 215.02 (6). This series could contain confidential or personally identifiable

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information such as social security number, credit report, criminal background information, bank account numbers, personal financial statement, race, birthdate or federal employee identification number.

RETENTION: Retain paper files for 30 days after scanning and quality control/verification has taken place then Destroy Confidential. Scanned files are kept 5 years from the date file is closed then Destroy Confidential.

EVENT=Liquidated

Dept #: /2400/ Department Name: BUREAU OF CONSUMER AFFAIRS

RDA #	RDA Title	Retention	Disposition	PII
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<u>00005000.</u>	<u>FORMS PRACTICES AND PROCEDURES - NON-LICENSED</u>	<u>EVT+25</u>	<u>DEST</u>	<u>N</u>
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This record series includes requests to review any act, practice, procedure, form and any other submission submitted to, and retained by, the Division of Banking, Bureau of Consumer Affairs of the Department of Financial Institutions under Wis. Stat. § 426.104(4), to determine whether such acts, practices, procedures, forms and all other submissions are consistent with Wis. Stat. §§ 421-427 and Wis. Stat. § 429.

EVENT= After approved/denied

<u>00041000.</u>	<u>CONSUMER ACT REGISTRATION</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
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This record series contains the Wisconsin Consumer Act Registration required to be files under Wis. Stat. § 426.201. That section requires any person who makes or solicits consumer credit transactions, regardless of the annual percentage rate, to file an annual registration when the year-end outstanding consumer credit balance is over \$250,000.00.

Retention: Retain paper documents for 30 days after scanning and quality control/verification has taken place then Destroy. Electronic/Scanned images of the above documents are kept for 5 years from the date entered into the data system with the Department of Financial Institutions and are then destroyed.

EVENT: Entered into Data System

Dept #: /2500/ Department Name: LICENSED FINANCIAL SERVICES

RDA #	RDA Title	Retention	Disposition	PII
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<u>00002000.</u>	<u>EXAMINATION WORKPAPERS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
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THE DEPARTMENT SUPERVISES THE FOLLOWING ENTITIES LICENSED UNDER THE WISCONSIN STATUTES; SECTIONS:

138.09 LOAN COMPANIES  
138.12 INSURANCE PREMIUM FIANANCE CO.  
217.10 SELLER OF CHECKS  
218.01 SALES FINANCE COMPANIES, INCLUDING DEALERS  
218.02 ADJUSTMENT SERVICE COMPANIES  
218.04 COLLECTION AGENCIES  
218.05 COMMUNITY CURRENCY EXCHANGES  
224.75 MORTGAGE BANKERS AND MORTGAGE BROKERS

THE DIVISION OF BANKING PERFORMS AUDITS BY ASKING THE LICENSEE TO SUPPLY VARIOUS ITEMS NECESSARY TO PERFORM THE EXAMINATION.

EXAMPLES OF THESE RECORDS ARE: BANK STATEMENTS, CHECK REGISTERS, DEALER CONTRACTS, PURCHASE CONTRACTS, INSURANCE LOGS, RESERVE STATEMENTS, LOAN AGREEMENTS, LOAN APPLICATION DOCUMENTS AND PAYMENT HISTORIES. ALSO INCLUDED ARE EXAMINE RNOTES AND CRITIQUES.

AFTER THE EXAMINATION IS CLOSED THESE RECORDS WILL BE RETAINED 3 YEARS THEN DESTROYED CONFIDENTIALLY.

<u>00005A00.</u>	<u>FORMS PRACTICES AND PROCEDURES - LICENSED</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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This record series includes requests to review any act, practice, procedure, form and any other submissions

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submitted to, and retained by, the Division of Banking, Licensed Financial Services Section of the Department of Financial Institutions under Wis. Stat. § 426.104(4), to determine whether such acts, practices, procedures, forms and all other submissions are consistent with Wis. Stat. §§ 421-427 and Wis. Stat. § 429.

These records were identified during an agency review.

RETENTION: Retain paper forms for 30 days after scanning and quality control/verification has taken place then destroy. Scanned documents are kept 10 years after the licensee's date of termination then destroyed.

EVENT = Date of Licensee Termination

<u>00035000.</u>	<u>BUSINESS RECORDS OF LICENSEES</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
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BUSINESS RECORDS MAY COME INTO THE POSSESSION OF THE DIVISION THROUGH THE LIQUIDATION OF A COLLECTION AGENCY. THE PROCEDURES TO LIQUIDATE A COLLECTION AGENCY ARE FOUND IN WIS. STATS. SS 218.04(9M)(D). THE DISPOSITION OF RECORDS IS ADDRESSED IN WIS. STATS. SS 218.04(9M)(D) AND 218.04(M)(H).

UNDER THE PROVISIONS OF WIS. STAT. SS 218(9M)(H) ALL PAPERS SPECIFIC TO COLLECTION AGENCIES WHICH ARE DOCUMENTATION OF THE DEBT, ARE RETURNED TO THE CLAIMANT OR A FORWARDER, WITHIN 30 DAYS AFTER THE DIVISION HAS VERIFIED THE CLAIMS MADE AGAINST THE DELINQUENT COLLECTION AGENCY AND HAS PUBLISHED THE REQUIRED NOTICES.

THE PROVISIONS OF WIS. STAT. SS 218.04(9M)(D) AND 220.08(17), WHICH PERMITS THE DIVISION TO PETITION THE CIRCUIT COURT FOR AN ORDER FOR THE DESTRUCTION OF RECORDS IN ITS POSSESSION. THE CIRCUIT COURT GRANTS THE ORDER ALLOWING THE DESTRUCTION OF RECORDS 1 YEAR AFTER THE FINAL LIQUIDATION OF THE COLLECTION AGENCY IS APPROVED BY THE COURT. AS NOTED ABOVE CERTAIN RECORDS WOULD ALREADY HAVE BEEN RETURNED TO OTHER PRIOR TO THAT DIVISION OBTAINING THE ORDER FROM THE COURT.

EVENT = FINAL LIQUIDATION APPROVED BY THE COURT.

<u>00075000.</u>	<u>CHARITABLE ORGANIZATION REGISTRATION FILES</u>	<u>EVT+5</u>	<u>SHSW</u>	<u>Y</u>
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REGISTRATION CASE FILES CONTAIN ALL MATERIALS AND INFORMATION REQUIRED BY THE DEPARTMENT OF SAFETY AND PROFESSIONAL SERVICES FOR PERSONS TO REGISTER AS A CHARITABLE ORGANIZATION IN THE STATE OF WISCONSIN AND TO SOLICIT CONTRIBUTIONS. (CH. 440, STATS.)

THE FILES INCLUDE BUT ARE NOT LIMITED TO THE FOLLOWING ITEMS: 1) COMPLETED AND SIGNED APPLICATION; 2) SECRETARY OF STATE APPROVAL; 3) ANNUAL FINANCIAL REPORTS; 4) ANNUAL AUDITS OR AFFIDAVITS IN LIEU OF AUDIT; 5) COPIES OF PROFESSIONAL FUND-RAISER CONTRACTS; 6) ARREST/CONVICTION RECORDS; 7) COPIES OF SURETY BONDS; 8) SIGNIFICANT CORRESPONDENCE CONCERNING SATISFACTORY COMPLETION OF REQUIREMENTS.

RETAIN COMPLETE FILE OR ANY ITEM SEPARATELY FOR 5 YEARS AFTER DATE OF REGISTRATION AND DISPOSE OF AS INDICATED BELOW PROVIDED ESSENTIAL INFORMATION IS ENTERED INTO THE COMPUTER IN COMPLIANCE WITH THE DEPARTMENT'S MINIMAL STANDARDS PERTAINING TO CREDENTIAL HOLDER COMPUTER RECORDS. RECORDS ARE DESTROYED WITH THE EXCEPTION OF EACH YEARS ENDING IN 0 AND 5 ONLY WHICH ARE TRANSFERRED TO THE STATE HISTORICAL SOCIETY.

<u>00077000.</u>	<u>PROFESSIONAL FUND RAISER AND PEDDLER REGISTRATION FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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LICENSING CASE FILES CONTAIN ALL MATERIALS AND INFORMATION REQUIRED BY THE DEPARTMENT OF SAFETY AND PROFESSIONAL SERVICES FOR INDIVIDUALS TO REQUEST REGISTRATION TO PRACTICE AS A PROFESSIONAL FUND-RAISER OR PEDDLER IN THE STATE OF WISCONSIN (CHAPTER 440, SUBCHAPTER III, STATS.)

FILES INCLUDES BUT ARE NOT LIMITED TO THE FOLLOWING ITEMS: 1) COMPLETED APPLICATION; 2) PROOF OF PROFESSIONAL FUND-RAISER BOND; 3) COPIES OF CONTRACTS WITH CHARITABLE ORGANIZATIONS; 4) PROFESSIONAL SOLICITOR REGISTRATIONS/SOLICITOR NOTICES; 5) COPIES OF TELEPHONE SALES SCRIPT, TICKETS OR INVOICES CONCERNING FUND-RAISING EVENTS, IF REQUIRED; 6) DISABILITY DESCRIPTION; 7) SIGNIFICANT CORRESPONDENCE CONCERNING SATISFACTORY COMPLETION OF REQUIREMENTS.

RETAIN ALL ITEMS TOGETHER OR ANY ITEM SEPARATELY; RETAIN COMPLETE FILE OR ANY SEPARATE ITEM FOR 5 YEARS AFTER ALL ITEMS OR ANY SEPARATE ITEM HAS BEEN PROCESSED, THEN DESTROY, PROVIDED ESSENTIAL INFORMATION IS ENTERED INTO THE COMPUTER SYSTEM IN COMPLIANCE WITH THE DEPARTMENT'S MINIMAL STANDARDS PERTAINING TO CREDENTIAL HOLDER COMPUTER RECORDS.

EVENT = ENTERED INTO DATA SYSTEM + 5 YEARS AND DESTROY CONFIDENTIAL.

<u>00086A00.</u>	<u>LICENSES FILES MOTOR VEHICLE</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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THE LICENSEE SERIES IS A "DUAL LICENSE" WITH THE DEPARTMENT OF TRANSPORTATION-DEALERS SECTION (MOTOR VEHICLE DEALERS, MOTORCYCLE DEALERS, AND RECREATIONAL VEHICLE DEALERS) AND THE DEPARTMENT OF COMMERCE. DUPLICATE RECORDS OF THE SAME NATURE ARE RETAINED BY THESE AGENCIES. THE SERIES MAY INCLUDE APPLICATIONS, CORRESPONDENCE AND BONDS.



Dept #: /2500/ Department Name: LICENSED FINANCIAL SERVICES

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THIS DEPARTMENT OF FINANCIAL INSTITUTIONS SUPERVISES THE FOLLOWING ENTITIES LICENSED UNDER WISCONSIN STATUTES, SS 218.0101-218.0163 SALES FINANCE COMPANIES- MOTOR VEHICLE DEALER, MOBILE HOME DEALERS, MOTORCYCLE DEALERS, AND RECREATIONAL VEHICLE DEALERS.

THIS SERIES COULD CONTAIN CONFIDENTIAL OR PERSONALLY IDENTIFIABLE INFORMATION SUCH AS SOCIAL SECURITY NUMBER, CREDIT REPORT, CRIMINAL BACKGROUND INFORMATION, BANK ACCOUNT NUMBER, PERSONAL FINANCIAL STATEMENT, RACE, BIRTH DATE OR FEDERAL EMPLOYEE IDENTIFICATION NUMBER.

RETENTION: RETAIN PAPER FILES FOR 30 DAYS AFTER SCANNING AND QUALITY CONTROL/VERIFICATION HAS TAKEN PLACE THEN DESTROY CONFIDENTIAL. SCANNED FILES ARE KEPT 5 YEARS FROM THE DATE NO LONGER LICENSED BY DOT.

00132000. SURETY BONDS, DEPOSITS IN LIEU OF SURETY BONDS, AND LETTER OF CREDIT EVT+7 DEST N

THIS RECORD SERIES INCLUDES SURETY BONDS, DEPOSITS IN LIEU OF SURETY BONDS AND LETTERS OF CREDIT.

THE DEPARTMENT SUPERVISES THE FOLLOWING ENTITIES LICENSED/REGISTERED UNDER:

- WIS. STAT 138.09 LOAN COMPANIES
- WIS. STAT. 218.0101-218.0163 SALES FINANCE COMPANIES, INCLUDING DEALERS
- WIS. STAT. 218.04 COLLECTION AGENCIES
- WIS. STAT. 224.72 MORTGAGE BANKERS AND MORTGAGE BROKERS
- WIS. STAT. 138.14 PAYDAY LENDERS
- WIS. STAT. 217 SELLER OF CHECKS
- WIS. STAT. 218.02 ADJUSTMENT SERVICE COMPANIES
- WIS. STAT 218.05 COMMUNITY CURRENCY EXCHANGES

CLOSED = BOND CANCELLATION, LICENSE REVOCATION, SURRENDER, LIQUIDATION OR EXPIRATION.

RETENTION: RETAIN PAPER DOCUMENTS FOR 30 DAYS AFTER SCANNING AND QUALITY CONTROL/VERIFICATION HAS TAKEN PLACE THEN DESTROY CONFIDENTIAL. SCANNED DOCUMENTS ARE KEPT 7 YEARS FROM THE DATE CLOSED/DECISION FINAL THEN DESTROY CONFIDENTIAL.

Dept #: /3100/ Department Name: CORPORATION FILING

RDA # RDA Title Retention Disposition PII

00045000. DAILY JOURNAL CR+25 DEST Y

DAILY REPORT OF CHARTER DOCUMENT FILINGS ACCOMPLISHED IN THE CORPORATION BUREAU, ARRANGED BY TYPE OF DOCUMENT AND PROVIDING THE FOLLOWING DETAIL: NEW DOMESTIC BUSINESS, SERVICE AND NON-STOCK CORPORATION, COOPERATIVE ASSN., LIMITED PARTNERSHIP, LIMITED LIABILITY COMPANY, AND LIMITED LIABILITY PARTNERSHIP, WITH THE NAME AND ADDRESS OF THE INITIAL REGISTERED AGENT AND OFFICE, AND THE ADDRESS OF THE PRINCIPAL OFFICE OF EACH LIMITED PARTNERSHIP AND NON-STOCK CORPORATION; NEW FOREIGN CORPORATIONS, LIMITED PARTNERSHIP, LIMITED LIABILITY COMPANY, AND LIMITED LIABILITY PARTNERSHIP OBTAINING A CERTIFICATE OF AUTHORITY OR REGISTRATION WITH THE ADDRESS OF ITS REGISTERED AGENT AND OFFICE IN WISCONSIN, AND THE ADDRESS OF ITS PRINCIPAL PLACE OF BUSINESS IN ITS STATE OF ORGANIZATION; FILINGS AFFECTING A CHANGE OF CORPORATE NAME, LISTING THE OLD AND NEW NAME; DOMESTIC AND LICENSED FOREIGN CORPORATIONS THAT ARE PARTY TO A MERGER; CONSOLIDATION, CONVERSION OR DIVISION, IDENTIFYING THE SURVIVING AND NON-SURVIVING ENTITIES; DOMESTIC CORPORATION, LIMITED LIABILITY COMPANY, LIMITED PARTNERSHIP OR LIMITED LIABILITY PARTNERSHIP FILING ARTICLES OF DISSOLUTIONS OR CANCELLATION; EACH LICENSED FOREIGN CORPORATION, NON-STOCK CORPORATION, LIMITED PARTNERSHIP OR LIMITED LIABILITY COMPANY, FILING A WITHDRAWAL AND FINAL REPORT; AND A COUNT OF THE OTHER TYPES OF FILINGS ACCOMPLISHED.

THE DAILY JOURNAL IS CREATED AS A QUALITY CHECK TO VERIFY THE ACCURACY OF THE DATA IN THE CRIS SYSTEM AND TO PROVIDE TO THE PUBLIC. THIS PAPER RECORD KEPT 3 MONTHS AFTER SCANNING. THE SCANNED IMAGE IS KEPT ON A SHARED DRIVE 25 YEARS AFTER THE CREATION THEN DESTROYED.

00046000. SERVICE OF PROCESS EVT+5 DEST Y

LEGAL PLEADINGS AND OTHER OFFICIAL COMMUNICATIONS SERVED ON THE DEPARTMENT AS AGENT FOR SERVICE OF PROCESS ON INDIVIDUALS, DOMESTIC AND FOREIGN CORPORATIONS, LIMITED PARTNERSHIPS, LIMITED LIABILITY COMPANIES, LIMITED LIABILITY PARTNERSHIPS, COOPERATIVES, AND COMMON LAW TRUSTS UNDER:

SS. 178.48(2), 179.04(2), 179.88, 180.1106(3)(A), 181.1107(2), 183.1205(7), 185.83(1)(D) AND 226.124(5) OR ANY OTHER STATUTORY PROVISIONS DIRECTING SERVICE OF PROCESS ON THE DEPARTMENT OF FINANCIAL INSTITUTIONS.

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IN ADDITION TO THE DOCUMENT SERVED ON THE DEPARTMENT OF FINANCIAL INSTITUTIONS, THE RECORDS INCLUDE A COPY OF THE CERTIFICATE OF ADMISSION OF SERVICE, CERTIFIED MAIL RECEIPTS, REPRODUCTION OF CERTIFIED MAIL COVERS, AFFIDAVITS OF MAILING AND MAILINGS RETURNED BY THE POST OFFICE AS UNDELIVERABLE.

PAPER DOCUMENT KEPT FOR THREE MONTHS AFTER FILED/SCANNED INTO SYSTEM. ELECTRONIC DOCUMENT IS KEPT 5 YEARS THEN DESTROYED.

**00049000. NAME RESERVATION APPLICATION - SHORT TERM & LONG TERM EVT+10 DEST Y**

APPLICATION TO RESERVE EXCLUSIVE USE OF A ENTITY NAME PRIOR TO CREATION OR QUALIFICATION OF A DOMESTIC OR FOREIGN BUSINESS CORPORATION, LIMITED LIABILITY COMPANY, COOPERATIVE, NON-STOCK NONPROFIT, AND LIMITED PARTNERSHIPS, OR THE ADOPTION OF THE NAME BY AN EXISTING ENTITY.

APPLICATION INCLUDES THE NAME, ADDRESS AND SIGNATURE OF THE APPLICANT, THE STATUTORY AUTHORITY UNDER WHICH THE APPLICATION IS SUBMITTED, THE NAME TO BE RESERVED, AND THE TERM OF THE RESERVATION. STATUTORY SUBSECTIONS IN CHS. 179, 180, 181, 183 AND 185 SET THE CONDITIONS, ALLOWABLE TERMS AND FEES. THIS RECORD SERIES INCLUDES A NOTICE FILED TO TRANSFER THE RESERVATION FROM THE HOLDER TO ANOTHER PARTY.

A DOMESTIC CORPORATION, COOPERATIVE OR LIMITED LIABILITY COMPANY ON RECORD WITH THIS DEPARTMENT MAY, UPON CHANGE OF NAME, MERGER OR VOLUNTARY DISSOLUTION, OR A REGISTERED FOREIGN CORPORATION OR LIMITED LIABILITY COMPANY UPON CHANGE OF NAME MAY, APPLY TO RESERVE ITS OLD NAME FOR A PERIOD OF NOT MORE THAN 10 YEARS. THE NAME RESERVATION MUST BE SUBMITTED FOR FILING SIMULTANEOUSLY WITH THE DOCUMENTATION AFFECTING THE NAME CHANGE, DISSOLUTION OR MERGER.

ONLY ACCEPTED/FILED DOCUMENTS WILL BE CONSIDERED UNDER THIS RDA.

EVENT = AFTER RESERVATION EXPIRES + 10 YEARS AND DESTROY CONFIDENTIAL.

**00050000. NAME REGISTRATION APPLICATION - FOREIGN CORPORTATION OR FORIE( EVT+3 DEST Y**

APPLICATION TO REGISTER EXCLUSIVE USE OF THE NAME OF A FOREIGN CORPORATION OR FOREIGN LIMITED LIABILITY COMPANY. APPLICATION INCLUDES NAME OF FOREIGN ENTITY, STATE FORMED, DATE OF FORMATION, ADDRESS OF THE ENTITY'S PRINCIPAL OFFICE ADDRESS. STATUTES 180.0403, 181.0403 & 183.0104(3) SET THE CONDITIONS, ALLOWABLE TERMS AND FEES FOR FILING THE APPLICATION. EVERY APPLICATION IS ALSO ACCOMPANIED BY A CURRENT CERTIFICIATE OF STATUS ISSUED BY THE SECRETARY OF STATE (OR OTHER OFFICIAL HAVING CUSTODY OF CORPORATE RECORDS) UNDER WHOS LAWS IT IS INCORPORATED, ATTESTING TO THE EXISTENCE AND STATUS OF THE CORPORATION.

APPLICATION CAN BE USED FOR ORIGINAL REGISTRATION (EXPIRE 12/31) OR RENEWAL REGISTRATION (RENEWAL PERIOD 10/1 - 12/31).

ONLY ACCEPTED/FILED APPLICATIONS WILL BE CONSIDERED UNDER THIS RDA. THE PAPER RECORD IS KEPT 3 MONTHS AFTER SCANNING/ENTRY INTO INFORMATION SYSTEM, QUALITY CONTROL AND IMAGE INSPECTION.

RETENTION IS = EVENT (AFTER REGISTRATION EXPIRES) + 3 YEARS AND DESTROY CONFIDENTIAL.

**00072000. REVOCATION / ADMINISTRATIVE DISSOLUTION PROGRAM - UNDELIVERABL EVT+0/3 DEST Y**

THIS RECORD SERIES CONSISTS OF DOCUMENTATION GENERATED IN THE CONDUCT OF PRIMARY AND SECONDARY REVOCATIONS AND ADMINISTRATIVE DISSOLUTION PROGRAMS DIRECTED AGAINST DOMESTIC AND FOREIGN CORPORATIONS, DOMESTIC AND FOREIGN NONSTOCK CORPORATIONS, AND DOMESTIC AND FOREIGN LIMITED LIABILITY COMPLANIES FAILING TO FILE THEIR ANNUAL REPORTS WITH THE DEPARTMENT.

REVOCATION ACTIONS ARE COMMENCED UNDER THE AUTHORITY OF WIS. STAT 180.1531. 181.1531 AND 183.1021, AND ADMINISTRATIVE DISSOLUTION ACTIONS UNDER WIS. STAT 180.1421, 181.14211 AND 183.09025.

RECORDS MAY CONSIST OF AUDIT LISTS USED IN DETERMINING THOSE ENTITIES THAT ARE SUBJECT TO REVOCATION OR ADMINISTRATIVE DISSOLUTIONS, MISCELLANEOUS CORRESPONDENCE AND ANY NOTIFICATIONS RETURNED TO THE DEPARTMENT AS UNDELIVERABLE.

RETAIN PAPER RECORDS FOR THREE MONTHS AFTER FINAL NOTICE IS POSTED ON THE DEPARTMENT INTERNET SITE THEN DESTROY CONFIDENTIAL

**00079000. CHARTER / REGISTRATION DOCUMENTS EVT+50 SHSW Y**

This records series consists of the charter documents or registration statements of domestic and foreign limited liability partnerships, limited partnership, business corporations, non-stock corporations, limited liability companies, cooperative associations, veteran's organizations, religious societies, and other organizations required or permitted by law to file an organizational or registration instrument with the Department of Financial Institutions as well as any "bulk filings". The Department of Financial Institutions is the Custodial office for such documents under Wis. Stat. chs. 178, 179, 180, 181, 183, 185, 187, 188, 190, 226 and other sections of the Wisconsin Statutes.

Documents and statements consist of Articles of Incorporation or organization, registration statements, amendments or corrections,

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articles of merger, consolidation, division, articles and certificates of voluntary, administrative or judicial dissolution, applications or certificate of withdrawal/revocation or cancellation, statements of change or resignation of registered agent, and like instruments.

Retention: Retain paper documents for 3 months after scanning and quality control/verification has taken place then Destroy Confidential. Electronic and Scanned images of the above documents are kept for 40 years from the date the entity ceases to exist with the Department of Financial Institutions and are then transferred to the Wisconsin Historical Society.

EVENT: when entity ceases to exist

<b><u>00080000.</u></b>	<b><u>ANNUAL REPORTS AND NEWLY ELECTED OFFICERS AND DIRECTORS</u></b>	<b><u>EVT+0/3</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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THIS RECORD CONSISTS OF ANNUAL REPORTS FILED BY DOMESTIC AND FOREIGN BUSINESS CORPORATIONS, SERVICE CORPORATION, NON-STOCK CORPORATIONS, COOPERATIVES AND LIMITED LIABILITY COMPANIES. THE ANNUAL REPORT FILING IS REQUIRED UNDER WISCONSIN STATS. 180.1622, 180.1921, 181.1622, 183.0120 AND 185.48. THIS RDA ALSO INCLUDES WISCONSIN STATS. 100.23, 157.62, 188.25 AND 226.14. THIS RECORD ALSO CONSISTS OF NEWLY ELECTED OFFICERS AND DIRECTORS FILED UNDER WISCONSIN STATUTE 180.0860(1), 181.0860(1) & 185.31(3)

RETENTION: RETAIN PAPER ANNUAL REPORTS AND NEWLY-ELECTED OFFICERS AND DIRECTORS FOR 3 MONTHS AFTER SCANNING AND QUALITY CONTROL/VERIFICATION HAS TAKEN PLACE THEN DESTROY CONFIDENTIAL.

<b><u>00080A00.</u></b>	<b><u>ANNUAL REPORTS &amp; NEWLY ELECTED OFFICERS &amp; DIRECTORS</u></b>	<b><u>EVT+25</u></b>	<b><u>SHSW</u></b>	<b><u>N</u></b>
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This record consists of Annual Reports filed by domestic and foreign business corporations, service corporation, non-stock corporations, cooperative, limited liability partnership and limited liability companies. The annual report filing is required under Wis. Stat. §§ 178.0913, 180.1622, 180.1921, 181.1622, 183.0120 and 185.48.

This record also consists of Newly Elected Officers and Directors filed under Wis. Stat. §§ 180.0860(1), 181.0860(1) & 185.31(3) and may also include annual reports under Wis. Stat. §§ 100.23, 157.62, 188.25, and 226.14 if necessary.

Retention: Scanned images of annual reports and certificates of newly-elected officers/directors are kept 25 years from the date (year) document was accepted/filed with the Department of Financial Institutions and are then transferred to the Wisconsin Historical Society annually.

EVENT: Date(year) accepted/filed at DFI

<b><u>00134000.</u></b>	<b><u>CORPORATE REGISTRATION INFORMATION SYSTEM - DATA ONLY</u></b>	<b><u>EVT+50</u></b>	<b><u>SHSW</u></b>	<b><u>Y</u></b>
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DATA IN THIS SERIES INCLUDE EXTRACTED INFORMATION FROM THE CHARTER DOCUMENTS FOR ENTITIES IN EXISTENCE INCLUDING ARTICLES OF INCORPORATION, ARTICLES OF AMENDMENT, APPLICATION FOR REGISTRATION, NOTICE OF ADMINISTRATIVE/INVOLUNTARY DISSOLUTION. IT PROVIDES A CHRONOLOGY OF CHARTER DOCUMENT FILINGS AND STATUS CHANGES AND INCLUDES THE CURRENT AND PREVIOUS STATUS(ES) OF AN ENTITY AND DOCUMENTS THE RELEASE OF FILINGS THAT ARE RETURNED FOR ADJUSTMENT OR CORRECTION. IT PROVIDES THE LOCATOR NUMBER OF THE ANNUAL REPORTS FILED BY THE ENTITY.

RETENTION = EVENT (ENTITY CEASES TO EXIST) + 50 YEARS AND TRANSFER TO STATE ARCHIVES(WHS).

<b><u>00136000.</u></b>	<b><u>ON-LINE CHARTER DOCUMENT FILINGS</u></b>	<b><u>EVT+50</u></b>	<b><u>SHSW</u></b>	<b><u>Y</u></b>
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THE ON-LINE CHARTER DOCUMENT FILING SYSTEM WAS ESTABLISHED TO PROVIDE FOR FILING THE ARTICLES OR ORGANIZATION ("ARTICLES") OF WISCONSIN LLC'S, AND FILING THE ARTICLES OF INCORPORATION FOR BUSINESS CORPORATIONS AND STATUTORY CLOSE CORPORATIONS AND ANY OTHER CHARTER DOCUMENTS VIA THE INTERNET. THE DATABASE IS A REPOSITORY OF INFORMATION PROVIDED BY THE APPLICANT'S ENTRIES IN THE ONLINE FORM. THE REPOSITORY IS DESIGNED TO PERMIT THE REPRODUCTION OF THE DOCUMENTS EXACTLY AS SUBMITTED BY THE APPLICANT.

RETENTION = EVENT (WHEN ENTITY CEASES TO EXIST) + 50 YEARS AND TRANSFER TO STATE ARCHIVES (WHS).

<b><u>00161000.</u></b>	<b><u>REGISTRANT FILES</u></b>	<b><u>EVT+10</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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THIS SERIES CAN INCLUDE, BUT IS NOT LIMITED TO, THE FOLLOWING RECORDS FOR THE REGISTRANT; INITIAL APPLICATIONS WITH SUPPORTING DOCUMENTATION THAT MAY INCLUDE FINANCIAL RESPONSIBILITY OF APPLICANT AND QUALIFICATIONS OF OFFICER/DIRECTORS; CORRESPONDENCE; FORMS; LITIGATION (INCLUDING MEMORANDA ON INVESTIGATIONS, LEGAL DOCUMENTS SUCH AS AFFIDAVITS, TRANSCRIPTS, HEARING DATA, ADMINISTRATIVE/COURT ORDERS AND RELATED CORRESPONDENCE); THE DIVISION'S FINDINGS LEADING TO THE DEPARTMENT TAKEOVER OR LIQUIDATION OF A REGISTRANT (INCLUDING NOTICES OF TAKEOVER, PROOFS OF CLAIMS AND THE COURT'S FINAL ORDER OF DISTRIBUTION OF ASSETS); FINANCIAL STATEMENTS. THE COMPANY IS CLOSED WHEN THEIR REGISTRATION IS TERMINATED OR SURRENDERED.

EXCEPT AS PROVIDED IN WIS. STATS. SS 202.13(5), 201.14(10) AND 202.22(9)(BM), REGISTRATION STATEMENTS, APPLICATIONS, REPORTS, CONTRACTS, AND AGREEMENTS OF CHARITABLE ORGANIZATIONS, FUND-RAISING COUNSEL, PROFESSIONAL FUND-RAISERS, PROFESSIONAL EMPLOYER ORGANIZATIONS/GROUPS, AND UNPAID SOLICITORS AND ALL OTHER DOCUMENTS AND INFORMATION RETAINED BY OR FILED WITH THE DEPARTMENT UNDER THIS SUBCHAPTER ARE AVAILABLE FOR INSPECTION OR COPYING UNDER WIS. STAT. SS 19.35(1).

RDA # RDA Title Retention Disposition PII

THIS RECORD SERIES CONTAINS CONTENT THAT IS CONFIDENTIAL PER WIS. STATS. SS 202.13(5), 202.14(10) AND 202.22(9)(BM).

WIS. STAT. SS 202.13 FUND-RAISING COUNCIL  
 WIS. STAT. SS 202.14 PROFESSIONAL FUND-RAISERS  
 WIS. STAT. SS 202.22 PROFESSIONAL EMPLOYER ORGANIZATIONS/GROUPS

RETENTION: RETAIN PAPER FILES FOR 30 DAYS AFTER SCANNING AND QUALITY CONTROL/VERIFICATION HAS TAKEN PLACE THEN DESTROY CONFIDENTIAL. SCANNED FILES ARE KEPT 10 YEARS FROM THE DATE CLOSED AND DESTROY CONFIDENTIAL.

**00162000.** **REGISTRATION RENEWAL APPLICATIONS** **EVT+3** **DEST** **Y**

THIS RECORD SERIES INCLUDES RENEWAL APPLICATIONS AND SUPPORTING DOCUMENTATION THAT MAY INCLUDE A FINANCIAL STATEMENT, LIST OF CURRENT OFFICERS/DIRECTORS AND A REGISTRATION FEE. REGISTRANTS ARE REQUIRED BY STATUTE TO RENEW CREDENTIALS ON A REGULAR BASIS.

THE DEPARTMENT SUPERVISES THE FOLLOWING ENTITIES LICENSED UNDER WIS. STAT. SS 202.12 CHARITABLE ORGANIZATIONS; 202.13 FUND-RAISING COUNSEL; 202.14 PROFESSIONAL FUND-RAISERS; AND 202.22 PROFESSIONAL EMPLOYER ORGANIZATIONS/GROUPS.

EXCEPT AS PROVIDED IN WIS. STATS. SS 202.13(5), 202.14(10) AND 202.22(9)(BM), REGISTRATION STATEMENTS, APPLICATIONS, REPORTS, CONTRACTS, AND AGREEMENTS OF CHARITABLE ORGANIZATIONS, FUND-RAISING COUNSEL, PROFESSIONAL FUND-RAISERS, PROFESSIONAL EMPLOYER ORGANIZATIONS/GROUPS, AND UNPAID SOLICITORS AND ALL OTHER DOCUMENTS AND INFORMATION RETAINED BY OR FILED WITH THE DEPARTMENT UNDER THIS SUBCHAPTER ARE AVAILABLE FOR INSPECTION OR COPYING UNDER WIS. STAT. SS 19.35(1).

THIS RECORD SERIES CONTAINS CONTENT THAT IS CONFIDENTIAL PER WIS. STATS. SS 202.13(5), 202.14(10) AND 202.22(9)(BM).

WIS. STAT. SS 202.13 FUND-RAISING COUNSEL  
 WIS. STAT. SS 202.14 PROFESSIONAL FUND-RAISERS  
 WIS. STAT. SS 202.22 PROFESSIONAL EMPLOYER ORGANIZATIONS/GROUPS

RETENTION: RETAIN PAPER FILES FOR 30 DAYS AFTER SCANNING AND QUALITY CONTROL/VERIFICATION HAS TAKEN PLACE THEN DESTROY CONFIDENTIAL. SCANNED FILES ARE KEPT 3 YEARS AFTER SUPERSEDED AND THEN DESTROY CONFIDENTIAL.

**00163000.** **ANNUAL REPORT OF REGISTERED COMPANIES** **EVT+10** **SHSW** **Y**

PURSUANT TO THE NOTED SECTIONS OF THE WIS. STATUTES, LICENSEES ARE REQUIRED TO FILE ANNUAL REPORTS WITH THE DEPARTMENT OF FINANCIAL INSTITUTIONS. COMPLETED REPORTS DISCLOSE THE VOLUME OF BUSINESS TRANSACTED IN WISCONSIN, AND OTHER RELEVANT INFORMATION REQUESTED BY THE DIVISION.

THE FOLLOWING LICENSES AS REGULATED UNDER THE REFERENCED STATUTES: WIS. STATS. SS 202.12 CHARITABLE ORGANIZATIONS; 203.13 FUND-RAISING COUNCIL, AND 202.14 PROFESSIONAL FUND-RAISERS.

EXCEPT AS PROVIDED IN WIS. STATS. SS 202.13(5) AND 202.14(10), REGISTRATION STATEMENTS, APPLICATIONS, REPORTS, CONTRACTS, AND AGREEMENTS OF CHARITABLE ORGANIZATIONS, FUND-RAISING COUNSEL, PROFESSIONAL FUND-RAISERS, AND UNPAID SOLICITORS AND ALL OTHER DOCUMENTS AND INFORMATION RETAINED BY OR FILED WITH THE DEPARTMENT UNDER THIS SUBCHAPTER ARE AVAILABLE FOR INSPECTION OR COPYING UNDER WIS. STAT. SS 19.35(1).

THIS RECORD SERIES CONTAINS CONTENT THAT IS CONFIDENTIAL PER WIS. STATS. SS 202.13(5) AND 202.14(10).

WIS. STAT. SS 202.13 FUND-RAISING COUNCIL  
 WIS. STAT. SS 202.14 PROFESSIONAL FUND-RAISERS

RETENTION: RETAIN PAPER FILES FOR 30 DAYS AFTER SCANNING AND QUALITY CONTROL/VERIFICATION HAS TAKEN PLACE THEN DESTROY CONFIDENTIAL. SCANNED FILES ARE KEPT 10 YEARS FROM THE DATE SUPERSEDED AND TRANSFERRED TO STATE ARCHIVES (WHS).

**00164000.** **DENIED OR WITHDRAWN CREDENTIALING APPLICATIONS** **EVT+10** **DEST** **Y**

THIS RECORD SERIES INCLUDES ORIGINAL CREDENTIALING APPLICATIONS AND RELATED CORRESPONDENCE, ALONG WITH THE DECISION DENYING OR WITHDRAWING THE APPLICATION FOR THE LICENSE TYPES LISTED BELOW.

WIS. STAT. SS 202.12 CHARITABLE ORGANIZATIONS  
 WIS. STAT. SS 202.13 FUND-RAISING COUNSELS  
 WIS. STAT. SS 202.14 PROFESSIONAL FUND-RAISERS  
 WIS. STAT. SS 202.22 PROFESSIONAL EMPLOYER ORGANIZATIONS AND GROUPS.

EXCEPT AS PROVIDED IN WIS. STATS. SS 202.13(5), 202.14(10) AND 202.22(9)(BM), REGISTRATION STATEMENTS, APPLICATIONS, REPORTS, CONTRACTS, AND AGREEMENTS OF CHARITABLE ORGANIZATIONS, FUND-RAISING COUNSEL, PROFESSIONAL FUND-RAISERS, PROFESSIONAL EMPLOYER ORGANIZATIONS/GROUPS, AND UNPAID SOLICITORS AND

RDA # RDA Title Retention Disposition PII

ALL OTHER DOCUMENTS AND INFORMATION RETAINED BY OF FILED WITH THE DEPARTMENT UNDER THIS SUBCHAPTER ARE AVAILABLE FOR INSPECTION OR COPYING UNDER WIS. STAT. SS 19.35(1).

THIS RECORD SERIES CONTAINS CONTENT THAT IS CONFIDENTIAL PER WIS. STATS. SS 201.13(5), 202.14(10) AND 202.22(9)(BM).

WIS. STAT. SS 202.13 FUND-RAISING COUNCIL  
 WIS. STAT. SS 202.14 PROFESSIONAL FUND-RAISERS  
 WIS. STAT. SS 202.22 PROFESSIONAL EMPLOYER ORGANIZATIONS/GROUPS

RETENTION: RETAIN PAPER APPLICATIONS FOR 30 DAYS AFTER SCANNING AND QUALITY CONTROL/VERIFICATION HAS TAKEN PLACE AND DESTROY CONFIDENTIAL. SCANNED APPLICATIONS ARE KEPT 10 YEARS FROM THE DATE DENIED OR WITHDRAWN THEN DESTROY CONFIDENTIAL.

**00165000. CREDENTIALING SURETY BONDS, DEPOSITS IN LIEU OF SURETY BONDS A/ EVT+7 DEST N**

THIS RECORDS SERIES INCLUDES SURETY BONDS, DEPOSITS IN LIEU OF SURETY BONDS AND LETTERS OF CREDIT.

THE DEPARTMENT SUPERVISES THE FOLLOWING ENTITIES REGISTERED UNDER:

WIS. STAT. SS 202.13 FUND-RAISING COUNSELS  
 WIS. STAT. SS 202.14 PROFESSIONAL FUND RAISERS  
 WIS. STAT. SS 202.22 PROFESSIONAL EMPLOYER ORGANIZATIONS AND GROUPS

CLOSED = BOND CANCELLATION, REGISTRATION REVOCATION, SURRENDER, LIQUIDATION OR EXPIRATION

RETENTION: RETAIN PAPER DOCUMENTS FOR 30 DAYS AFTER SCANNING AND QUALITY CONTROL/VERIFICATION HAS TAKEN PLACE AND THEN DESTROY CONFIDENTIAL. SCANNED DOCUMENTS ARE KEPT 7 YEARS FROM THE DATE CLOSED/DECISION FINAL THEN DESTROY CONFIDENTIAL.

**00166000. LITIGATION FILES - NON-REGISTERED PARTIES EVT+10 DEST Y**

THIS RECORD SERIES MAY INCLUDE MEMORANDA ON INVESTIGATIONS, LEGAL DOCUMENTS SUCH AS AFFIDAVITS, TRANSCRIPTS, HEARING DATA, ADMINISTRATIVE AND COURT ORDERS, AND RELATED CORRESPONDENCE THAT MAY PERTAIN TO COMPANIES WHO ARE NOT REGISTERED BY THE DIVISION OF CORPORATE AND CONSUMER SERVICES.

EXCEPT AS PROVIDED IN WIS. STATS. SS 202.13(5), 202.14(10) AND 202.22(9)(BM), REGISTRATION STATEMENTS, APPLICATIONS, REPORTS, CONTRACTS, AND AGREEMENTS OF CHARITABLE ORGANIZATIONS, FUND-RAISING COUNSEL, PROFESSIONAL FUND-RAISERS, PROFESSIONAL EMPLOYER ORGANIZATIONS/GROUPS, AND UNPAID SOLICITORS AND ALL OTHER DOCUMENTS AND INFORMATION RETAINED BY OF FILED WITH THE DEPARTMENT UNDER THIS SUBCHAPTER ARE AVAILABLE FOR INSPECTION OR COPYING UNDER WIS. STAT. SS 19.35(1).

THIS RECORD SERIES CONTAINS CONTENT THAT IS CONFIDENTIAL PER WIS. STATS. SS 201.13(5), 202.14(10) AND 202.22(9)(BM).

WIS. STAT. SS 202.13 FUND-RAISING COUNCIL  
 WIS. STAT. SS 202.14 PROFESSIONAL FUND-RAISERS  
 WIS. STAT. SS 202.22 PROFESSIONAL EMPLOYER ORGANIZATIONS/GROUPS

RETENTION: RETAIN PAPER APPLICATIONS FOR 30 DAYS AFTER SCANNING AND QUALITY CONTROL/VERIFICATION HAS TAKEN PLACE AND DESTROY CONFIDENTIAL. SCANNED APPLICATIONS ARE KEPT 10 YEARS FROM THE DATE THE APPEAL HAS EXPIRED AND THEN DESTROY CONFIDENTIAL.

**00167000. NON-REGISTERED PARTIES - CORRESPONDENCE PARTIES EVT+3 SHSW N**

THIS RECORD SERIES INCLUDES CORRESPONDENCE WITH NON-REGISTERED ENTITIES. THIS TYPE OF CORRESPONDENCE MAY INCLUDE PRECEDENT SETTING MATTERS RESULTING FROM THE DEPARTMENT'S INTERPRETATION OF STATUTES.

RETENTION: RETAIN PAPER FILES FOR 30 DAYS AFTER SCANNING AND QUALITY CONTROL/VERIFICATION HAS TAKEN PLACE THEN DESTROY CONFIDENTIAL. SCANNED FILES ARE KEPT 3 YEARS FROM THE DATE CLOSED THEN TRANSFER TO STATE ARCHIVES (WHS).

**00168000. CREDENTIALING COMPLAINTS AND INQUIRIES EVT+7 DEST Y**

THIS RECORD SERIES INCLUDES COMPLAINTS AND INQUIRIES RECEIVED BY THE DIVISION OF CORPORATE AND CONSUMER SERVICES WHERE ACTION IS AUTHORIZED BY WIS. STAT. SS 426.104(1)(A) & (B) AND/OR VARIOUS REGISTERING STATUTES. THE COMPLAINTS AND INQUIRIES INVOLVE BOTH REGISTRANTS AND NON-REGISTRANTS AND TYPICALLY INVOLVE COMPANIES SUCH AS CHARITABLE ORGANIZATIONS, PROFESSIONAL FUND-RAISERS, FUND-RAISING COUNSELS, PROFESSIONAL EMPLOYER GROUPS AND SCAMS.

THE COMPLAINTS INCLUDE THOSE:

- 1) INVESTIGATED BY THE DIVISION OF CORPORATE AND CONSUMER SERVICES
- 2) RECEIVED "FOR INFORMATION ONLY" PURPOSES, AND
- 3) REFERRED TO OTHER GOVERNMENTAL AGENCIES BECAUSE THE COMPLAINT/INQUIRY WOULD BE MORE APPROPRIATELY HANDLED BY A DIFFERENT AGENCY.

Dept #: /3100/ Department Name: CORPORATION FILING

RDA # RDA Title Retention Disposition PII

EXCEPT AS PROVIDED IN WIS. STATS. SS 202.13(5), 202.14(10) AND 202.22(9)(BM), REGISTRATION STATEMENTS, APPLICATIONS, REPORTS, CONTRACTS, AND AGREEMENTS OF CHARITABLE ORGANIZATIONS, FUND-RAISING COUNSEL, PROFESSIONAL FUND-RAISERS, PROFESSIONAL EMPLOYER ORGANIZATIONS/GROUPS, AND UNPAID SOLICITORS AND ALL OTHER DOCUMENTS AND INFORMATION RETAINED BY OF FILED WITH THE DEPARTMENT UNDER THIS SUBCHAPTER ARE AVAILABLE FOR INSPECTION OR COPYING UNDER WIS. STAT. SS 19.35(1).

THIS RECORD SERIES CONTAINS CONTENT THAT IS CONFIDENTIAL PER WIS. STATS. SS 201.13(5), 202.14(10) AND 202.22(9)(BM).

WIS. STAT. SS 202.13 FUND-RAISING COUNCIL  
WIS. STAT. SS 202.14 PROFESSIONAL FUND-RAISERS  
WIS. STAT. SS 202.22 PROFESSIONAL EMPLOYER ORGANIZATIONS/GROUPS

RETENTION: RETAIN PAPER APPLICATIONS FOR 30 DAYS AFTER SCANNING AND QUALITY CONTROL/VERIFICATION HAS TAKEN PLACE AND DESTROY CONFIDENTIAL. SCANNED APPLICATIONS ARE KEPT 7 YEARS FROM THE DATE CLOSED/DECISION FINAL THEN DESTROY CONFIDENTIAL.

Dept #: /3200/ Department Name: UNIFORM COMMERCIAL CODE

RDA # RDA Title Retention Disposition PII

00048000. UNIFORM COMMERCIAL CODE INDEX EVT+31 DEST Y

FINANCING STATEMENTS, TAX LIENS, CONTINUATIONS, AMENDMENTS, ASSIGNMENTS, CORRECTION STATEMENTS AND TERMINATIONS ARE FILED IN THIS OFFICE UNDER CH. 409 OF THE WISCONSIN STATUTES. THE FINANCING STATEMENTS CONTAIN THE NAME AND ADDRESS OF THE DEBTOR AND SECURED PARTY AND A STATEMENT AND/OR ATTACHMENTS INDICATING THE TYPES AND/OR DESCRIPTIONS OF ITEMS OF COLLATERAL. FILINGS ARE MADE ELECTRONICALLY AND ON STANDARD (DEPARTMENT APPROVED FORMS) OR NON-STANDARD FORMS. WHEN AN ORIGINAL FILING HAS REACHED THE EXPIRATION DATE, IT LAPSES AND IS NO LONGER EFFECTIVE. WHEN A SECURITY INTEREST NO LONGER EXISTS, A TERMINATION MAY BE FILED WHICH REMOVES THAT FILING FROM THE ACTIVE INDEX.

PAPER RECORDS ARE RETAINED ON-SITE FOR 3 MONTHS AFTER THEY ARE SCANNED, ENTERED INTO THE INDEX, AND ARE VERIFIED FOR QUALITY OF THE RECORDS. 31 YEARS IS BASED ON THE RECORD (PUBLIC FINANCE, WI STATS 779(4)(B)(2) THAT HAS THE LONGEST RETENTION OF 30 YEARS PERIOD PLUS ONE YEAR (WI STATS 409.522(1)).

ELECTRONICALLY FILED DOCUMENTS ARE PROCESSED WITH A FORMS SYSTEM WRITTEN USING ASP, WEB SERVERS RUNNING IIS AND DATA IS STORED IN A SQL SERVER 7.0 DATABASE. PAPER DOCUMENTS ARE SCANNED, IMAGED AND PROCESSED USING TRUNET WHICH IS MAINTAINED BY DFI PROGRAMMERS.

RETENTION: EVENT(AFTER IMAGE IS VERIFIED) + 31 YEARS AND DESTROY CONFIDENTIAL.

00048D00. FINANCING STATEMENT - REJECT NOTICES CR+0/3 DEST Y

FINANCING STATEMENTS, TAX LIENS, CONTINUATIONS, AMENDMENTS, ASSIGNMENTS, CORRECTION STATEMENTS AND TERMINATIONS ARE FILED IN THIS OFFICE UNDER CH.409 OF THE WISCONSIN STATUTES. THE FINANCING STATEMENTS CONTAIN THE NAME AND ADDRESS OF THE DEBTOR AND SECURED PARTY AND A STATEMENT AND/OR ATTACHMENTS INDICATING THE TYPES AND/OR DESCRIPTIONS OF ITEMS OF COLLATERAL. FILINGS ARE MADE ON STANDARD (DEPARTMENT APPROVED FORMS) OR NON-STANDARD FORMS. WHEN A FILING IS REJECTED AND A REJECTION NOTICE IS CREATED AND THE FILING IS RETURNED FOR CORRECTION AND RESUBMISSION. THIS RECORD SERIES CONSIST OF COPIES OF THE REJECTION NOTICES THAT ARE NUMBERED AND DATED ALONG WITH A COPY OF THE FILING. CORRECTIONS ARE ACCEPTED UP TO 90 DAYS FROM THE DATE OF THE REJECT NOTICE.

RETENTION: CR + 0/3 AND DESTROY CONFIDENTIAL

Dept #: /3400/ Department Name: D F I VIDEO FRANCHISE SECTION

RDA # RDA Title Retention Disposition PII

00143000. VIDEO FRANCHISE REGISTRATIONS EVT+20 DEST N

THIS RECORDS SERIES CONSISTS OF THE DOCUMENTS OR REGISTRATION APPLICATIONS OF VIDEO SERVICE FRANCHISES REQUIRED BY STATUTE TO BE FILED WITH THE DEPARTMENT OF FINANCIAL INSTITUTIONS (DFI). DFI IS THE FILING AND CUSTODIAL OFFICE FOR SUCH DOCUMENTS UNDER 66.0420 OF WIS. STATUTES. DOCUMENT AND

Dept #: /3400/ Department Name: D F I VIDEO FRANCHISE SECTION

RDA # RDA Title Retention Disposition PII

STATEMENTS CONSIST OF AN APPLICATION, DESCRIPTION OF THE AREAS OF THE STATE INTENDING TO PROVIDE SERVICE, AFFIDAVITS, AMENDMENTS, MODIFICATIONS, DERTIFICATES OF WITHDRAWL AND LIKE INSTRUMENTS.

PAPER COPY WILL BE RETAINED FOR 3 MONTHS AFTER SCANNING, ENTRY INTO INFORMATION SYSTEM, QUALITY CONTROL AND IMAGE INSPECTION. ELECTRONIC IMAGE WILL BE RETAINED FOR 20 YEARS AFTER CLOSED AND TRANSFER TO STATE HISTORICAL SOCIETY.

EVENT = CLOSED + 20 YEARS AND DESTROY

00144000. VIDEO FRANCHISE ANNUAL REPORTS EVT+1 DEST N

THIS RECORDS SERIES CONSISTS OF ANNUAL REPORTS FILED BY VIDEO FRANCHISES AS REQUIRED BY 66.0420 WIS. STATUTES.

THIS REPORT MAY BE CONVERTED TO ELECTRONIC IMAGE. PAPER COPIES WILL BE KEPT FOR 3 MONTHS AFTER ENTRY INTO ELECTRONIC SYSTEM, QUALITY CONTRAL AND IMAGE INSPECTION.

ELECTRONIC IMAGES WILL BE RETAINED 1 YEAR AFTER SUPERSEDED AND DESTROYED.

EVENT = SUPERSEDED + 1 YEAR AND DESTROY

Dept #: /3500/ Department Name: NOTARY & TRADEMARKS

RDA # RDA Title Retention Disposition PII

00145000. TRADEMARK RECORDS P PERM N

TRADEMARK REGISTRATIONS ARE SUBMITTED TO THE DEPARTMENT OF FINANCIAL INSTITUTIONS PURSUANT TO SEC. 132 OF THE WISCONSIN STATUTES. NO OTHER AGENCY FILES ORIGINALS OR COPIES OF TRADEMARK REGISTRATIONS. WHEN THE COMPLETED FORM IS ACCEPTED FOR FILING, AND THE STATUTORY FEE IS COLLECTED, A REGISTRATION CERTIFICATE IS ISSUED. REGISTRATIONS ARE VALID FOR A PERIOD OF TEN YEARS AND MAY BE ASSIGNED TO ANOTHER REGISTRANT DURING THAT TIME, MAY BE CANCELLED, AND MAY BE RENEWED UPON EXPIRATION.

REGISTRATION INFORMATION INCLUDES: NAME, MAILING ADDRESS, AND BUSINESS LOCATION OF REGISTRANT; TYPE OF BUSINESS OR GOODS; DESCRIPTION OF MARK AND SAMPLES, IF REQUIRED; DATE OF FIRST USE.

REGISTRATION INFORMATION IS ENTERED INTO THE TRADEMARKS WEB-BASED DATABASE AND THE FORMS ARE SCANNED. INFORMATION AND SCANNED FORMS MAY BE ACCESSED VIA THE DATA ENTRY TOOL AS WELL AS ON THE DFI PUBLIC WEBSITE. PAPER REGISTRATIONS ARE FILED ALPHABETICALLY BY REGISTRANT ON A WEEKLY BASIS.

RETENTION: RETAIN PAPER COPIES ONE MONTH OR UNTIL ELECTRONIC CAPUTRE IS VERIFIED AND DESTROY.

00146000. FOUR YEAR NOTARY APPLICATIONS, OATH, AND BOND FORMS EVT+5 DEST Y

THE NOTARY APPLICATIONS AND NAME/ADDRESS/SEAL CHANGE FORMS CONTAIN HISTORICAL INFORMATION OF COMMISSION DATES, NAME/ADDRESS/STATUS CHANGES, LEGAL NAME, SEAL NAME, ADDRESS, OATHS, BOND INFORMATION, EXAM INFORMATION, PAYMENT INFORMATION AND OPTIONALLY SUBMITTED DATA OF E-MAIL ADDRESS AND PHONE NUMBER FOR PAPER APPLICANTS.

RETENTION: RETAIN PAPER DOCUMENTS FOR 30 DAYS AFTER THE COMMISSION DATE FOR QUALITY CONTROL. SCANNED DOCUMENTS ARE KEPT 5 YEARS FROM THE DATE OF ISSUANCE AND DESTROY CONFIDENTIAL.

00147000. PERMANENT NOTARY COMMISSION APPLICATION CR+75 DEST Y

THE PERMANENT COMMISSION NOTARY APPLICATIONS AND NAME/ADDRESS/SEAL CHANGE FORMS CONTAIN HISTORICAL INFORMATION OF COMMISSION DATES, NAME/ADDRESS/STATUS CHANGES, LEGAL NAME, SEAL NAME, ADDRESS, OATHS, BOND INFORMATION, EXAM INFORMATION, PAYMENT INFORMATION, STATUS OF GOOD STANDING WITH THE STATE SUPEREME COURT AND OPTIONALLY SUBMITTED DATA OF E-MAIL AND PHONE NUMBER FOR PAPER APPLICATIONS AND MANDATORY E-MAIL FOR ELECTRONICALLY FILED APPLICATIONS.

RETENTION: RETAIN PAPER DOCUMENTS FOR 30 DAYS AFTER THE COMMISSION DATE FOR QUALITY CONTROL. SCANNED/ELECTRONIC DOCUMENTS ARE KEPT FOR 75 YEARS FROM THE DATE OF ISSUANCE AND DESTROYED CONFIDENTIALLY.

00149000. NOTARY PUBLIC OFFICIAL RECORDS EVT+1 DEST N

Per Wisconsin Stat. § 137.01 (7) - OFFICIAL RECORDS TO BE FILED. When any notary public ceases to hold office, the notary public or in case of the notary public's death the notary public's personal representative, shall deposit the notary public's official records

Dept #: /3500/ Department Name: NOTARY & TRADEMARKS

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
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and papers with the department of financial institutions. The department of financial institutions shall receive and safely keep all papers and records. Official Records include but are not limited to: Notary Journals, Notary Stamps and Notary Embossers.

New RDA created as records were identified per agency review.

RETENTION: Retain all official records for 1 year from the date received and then destroy confidential.

EVENT = Date Received

Dept #: /4100/ Department Name: CREDIT UNIONS

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
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<u>00082000.</u>	<u>HISTORY EXAMINATION FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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Credit Union records under Wis. Stat. ch. 186, including examination reports of the condition of state-chartered credit unions prepared pursuant to Wis. Stat. § 186.235(16), correspondence, and follow-up related to the examination.

Record Series is confidential per Wis. Stat. § 186.235(7). This series could contain confidential or personally identifiable information such as social security number, credit report, criminal background information, bank account numbers, personal financial statement, race, birthdate or federal employee identification number.

Retention: Retain paper files for 30 days after scanning and quality control/verification has taken place then Destroy Confidential. Scanned files are kept 10 years from the date exam is complete the Destroy Confidential.

EVENT: Date exam complete

<u>00083000.</u>	<u>CALL REPORTS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>
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Call reports filed by the credit unions under Wis. Stat. § 186.235(19) and the United States Code (USC) relating to federally insured credit unions. The files includes call reports including assets and liabilities, income, expenses, and related financial statements. These reports are used to fulfill the NCUSIF insurance requirement and are used to compile various statistical reports including Credit Union Bulletins.

Retention: Retain paper files for 30 days after scanning and quality control/verification has taken place then Destroy. Scanned files are kept 1 year from the date superseded then Destroy.

EVENT: superseded

<u>00084000.</u>	<u>ARTICLES OF INCORPORATION AND BYLAWS</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>Y</u>
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Articles of incorporation, bylaws and charter documents for credit unions under Wis. Stat. § 186.02. Included in this series are articles of incorporation and bylaws of existing, liquidated and consolidated Credit Unions. After liquidation and consolidation of any Credit Union under Wis. Stat. §§ 186.18 or 186.235(11) and subsequent cancellation of charter under Wis. Stat. § 186.315, articles of incorporation, bylaws, charter documents, cancellation of charter and correspondence relative to final liquidation and consolidation are added to the file.

Closed = when articles or bylaws are superseded or obsolete because credit union liquidates, consolidates, or updates these records.

Retention: Retain paper files for 30 days after scanning and quality control/verification has taken place the Transfer to State Archives. Scanned files are kept 10 years from the date closed the transferred to State Archives (WHS).

EVENT: Closed

<u>00085000.</u>	<u>LIQUIDATED CREDIT UNION'S BOOKS &amp; RECORDS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
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The books and records of a credit union which has been liquidated are taken into the custody of the Office of Credit Unions for safekeeping. Wisconsin Stat. §§ 186.18 and 186.235(11) govern voluntary and involuntary liquidation of credit unions. Rules relating to the retention and destruction of credit union records prescribed under Wis. Admin. Code Ch. DFI-CU 57.

Records in this series include policy and administrative books and records including, but not limited, check registers, collateral, money orders, records of receipts, withdrawal slips, canceled checks, loan applications, charged off loans and other detailed accounting records, ledgers, reports, minutes of meetings, and other policy records such as business plans.

Records series is confidential per Wis. Stat. § 186.235(7). This series could contain confidential or personally identifiable information such as social security numbers, credit report, criminal background information, bank account numbers, personal financial statement, race, birthdate or federal employee identification number.



Dept #: /4100/ Department Name: CREDIT UNIONS

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
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Retention: Retain paper files for 30 days after scanning and quality control/verification has taken place then destroy Confidential. Scanned files are kept 10 years from the date the Department receives the file from the Credit Union then Destroy.

EVENT: when file received from credit union

<u>00089000.</u>	<u>COMPLAINT FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
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This record series includes Credit Union complaints containing the written complaint, a copy of the director's letter to the respective Credit Union requesting an investigation and copy of the credit union response to the complainant and any other corresponding documents.

Retention: retain paper files for 30 days after scanning and quality control/verification has taken place the Destroy Confidential. Scanned files are kept 5 years from the date complaint file is closed the Destroy Confidential.

EVENT: when complaint is filed

Dept #: /5100/ Department Name: COLLEGE SAVINGS PROGRAMS

<u>RDA #</u>	<u>RDA Title</u>	<u>Retention</u>	<u>Disposition</u>	<u>PII</u>
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<u>00322000.</u>	<u>GENERAL CORRESPONDENCE</u>	<u>CR+6</u>	<u>DEST</u>	<u>Y</u>
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THE WISCONSIN 529 COLLEGE SAVINGS PROGRAM OPERATES UNDER SECTIONS 16.64 AND 16.641, WIS. STATS. THE LEGISLATION AUTHORIZES THE STATE DEPARTMENT OF ADMINISTRATION AND THE STATE INVESTMENT BOARD TO OFFER AN INVESTMENT OPPORTUNITY DESIGNED TO HELP FAMILIES KEEP UP WITH RISING COLLEGE TUITION EXPENSES.

GENERAL CORRESPONDENCE - MAY INCLUDE REQUESTS RECEIVED FROM THE GENERAL PUBLIC FOR INFORMATION ON OUR PROGRAM. THESE REQUESTS AND OUR RESPONSES TO THEM CAN BE DESTROYED AFTER 6 YEARS OF HANDLING THE INQUIRY.

AS MUNICIPAL FUND SECURITIES, SOME MATERIALS ARE ALSO SUBJECT TO RETENTION POLICIES OF THE MUNICIPAL SECURITIES RULEMAKING BOARD (MSRB), THE U.S. SECURITIES AND EXCHANGE COMMISSION (SEC), AND THE FINANCIAL INDUSTRY REGULATORY AUTHORITY, INC. (FINRA) FOR BOTH THE STATE AND ITS CONTRACTED PROGRAM VENDORS.

PER U.S. SECURITIES & EXCHANGE COMMISSION RULE 17A-4 SUB SECTIONS A, D & F IT STATES THAT CORRESPONDENCE MUST BE KEPT FOR SIX YEARS FROM THE TIME THE ACCOUNT IS CLOSED OR WHEN THE INFORMATION IS REPLACED OR UPDATED UNDER THE SECURITIES EXCHANGE ACT OF 1934.

RETENTION: CR + 6 YEARS AND DESTROY CONFIDENTIAL.

<u>00323000.</u>	<u>CUSTOMER ACCOUNTS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>Y</u>
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THE WISCONSIN 529 COLLEGE SAVINGS PROGRAM OPERATES UNDER SECTIONS 16.64 AND 16.641, WIS. STATS. THE LEGISLATION AUTHORIZES THE STATE DEPARTMENT OF ADMINISTRATION AND THE STATE INVESTMENT BOARD TO OFFER AN INVESTMENT OPPORTUNITY DESIGNED TO HELP FAMILIES KEEP UP WITH RISING COLLEGE TUITION EXPENSES.

CUSTOMER ACCOUNTS - MAY INCLUDE DATA FROM APPLICATION/AGREEMENT FORM, DATA ON PURCHASE OF TUITION UNITS VIA CHECK, AUTOMATIC ACCOUNT WITHDRAWAL AUTHORIZATION OR PAYROLL DEDUCTION, AND CUSTOMER CORRESPONDENCE RECORDS. A NUMERIC FILE IS CREATED FOR EACH INDIVIDUAL ACCOUNT IN A MICROSOFT ACCESS DATABASE. THE CUSTOMER ACCOUNTS DATA WILL ALSO BE USED TO PRODUCE WEEKLY STATUS REPORTS, THE ANNUAL REPORT TO THE GOVERNOR AND APPROPRIATE STANDING COMMITTEES OF THE LEGISLATURE, AND MARKETING REPORTS.

AS MUNICIPAL FUND SECURITIES, SOME MATERIALS ARE ALSO SUBJECT TO RETENTION POLICIES OF THE MUNICIPAL SECURITIES RULEMAKING BOARD (MSRB), THE U.S. SECURITIES AND EXCHANGE COMMISSION (SEC), AND THE FINANCIAL INDUSTRY REGULATORY AUTHORITY, INC. (FINRA) FOR BOTH THE STATE AND ITS CONTRACTED PROGRAM VENDORS.

RETENTION: EVENT (CLOSED/ACCOUNT; TERM./DEATH OF BENEFICIARY) + 6 YEARS AND DESTROY CONFIDENTIAL.

<u>00324000.</u>	<u>ADMINISTRATIVE RECORDS</u>	<u>CR+6</u>	<u>DEST</u>	<u>Y</u>
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THE WISCONSIN 529 COLLEGE SAVINGS PROGRAM OPERATES UNDER SECTIONS 16.64 AND 16.641, WIS. STATS. THE LEGISLATION AUTHORIZES THE STATE DEPARTMENT OF ADMINISTRATION AND THE STATE INVESTMENT BOARD TO

Dept #: /5100/ Department Name: COLLEGE SAVINGS PROGRAMS

RDA # RDA Title Retention Disposition PII

OFFER AN INVESTMENT OPPORTUNITY DESIGNED TO HELP FAMILIES KEEP UP WITH RISING COLLEGE TUITION EXPENSES.

ADMINISTRATIVE RECORDS - MAY INCLUDE CORRESPONDENCE AND/OR AGREEMENTS WITH GOVERNMENT AGENCIES AND PRIVATE COMPANIES; MATERIAL USED IN DEVELOPING AND MAINTAINING PROGRAM POLICIES AND PROCEDURES, PRICING OF TUITION UNITS, AND MARKETING AND WEEKLY STATUS REPORTS.

AS MUNICIPAL FUND SECURITIES, SOME MATERIALS ARE ALSO SUBJECT TO RETENTION POLICIES OF THE MUNICIPAL SECURITIES RULEMAKING BOARD (MSRB), THE U.S. SECURITIES AND EXCHANGE COMMISSION (SEC), AND THE FINANCIAL INDUSTRY REGULATORY AUTHORITY, INC. (FINRA) FOR BOTH THE STATE AND ITS CONTACTED PROGRAM VENDORDS.

RETENTION: CR + 6 YEARS AND DESTROY CONFIDENTIAL.

00325000. HISTORICAL RECORDS CR+24 SHSW N

THE WISCONSIN 529 COLLEGE SAVINGS PROGRAM OPERATES UNDER SECTIONS 16.64 AND 16.641, WIS. STATS. THE LEGISLATION AUTHORIZES THE STATE DEPARTMENT OF ADMINISTRATION AND THE STATE INVESTMENT BOARD TO OFFER AN INVESTMENT OPPORTUNITY DESIGNED TO HELP FAMILIES KEEP UP WITH RISING COLLEGE TUITION EXPENSES.

HISTORICAL RECORDS - MAY INCLUDE ONGOING MATERIALS ON LEGISLATION AFFECTING THE PROGRAM, ADMINISTRATIVE CODE, ANNUAL REPORTS TO THE GOVERNOR AND APPROPRIATE STANDING COMMITTEES OF THE LEGISLATURE, OPERATION MANUALS DETAILING PROCEDURES OF THE PROGRAM (PROCESSING APPLICATIONS, PURCHASE OF TUITION UNITS, BACKUP PROCEDURES, ETC.) AND PROMOTIONALS USED TO LET THE GENERAL PUBLIC KNOW ABOUT THE PROGRAM.

AS MUNICIPAL FUND SECURITIES, SOME MATERIALS ARE ALSO SUBJECT TO RETENTION POLICIES OF THE MUNICIPAL SECURITIES RULEMAKING BOARD (MSRB), THE U.S. SECURITIES AND EXCHANGE COMMISSION (SEC), AND THE FINANCIAL INDUSTRY REGULATORY AUTHORITY, INC. (FINRA) FOR BOTH THE STATE AND ITS CONTRACTED PROGRAM VENDORS.

RETENTION: CR + 24 YEARS AND TRANSFER TO STATE ARCHIVES (WHS).

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RDA # RDA Title Retention Disposition PII

00114000. BROKER DEALER & AGENT APPLICATIONS EVT+6 DEST Y

THIS RECORD SERIES CONTAINS CALENDAR YEAR FILINGS BY BROKER DEALERS AND AGENTS AS REQUIRED BY SECTIONS 551.406(1) THROUGH (6), AND 551.411(1) THROUGH (3), WIS. STATS. AND RELATED RULES WHICH INCLUDE APPLICATIONS WITHDRAWN AND TERMINATED, AMENDMENTS AND MISCELLANEOUS CHANGES, DESIGNATED SUPERVISOR INFORMATION, BRANCH OFFICE REGISTRATIONS AND RENEWALS, LIMITED AGENT RENEWALS, TEMPORARY AGENT TRANSFERS, OLD AGENT ROSTERS, AND AGENT FOR ISSURERS RENEWALS AND TERMINATIONS, AND CIVIL SUITS FILED AGAINST LICENSES.

BROKER DEALER APPLICATIONS ARE SCANNED AND THE PAPER COPY DESTROYED AFTER QUALITY CONTROL AND IMAGE INSPECTION. AGENT APPLICATIONS ARE RETAINED IN PAPER FORMAT.

EVENT = CLOSED / TEMINATED / DEATH

00115000. BROKER DEALER & INVESTMENT ADVISORS FIELD EXAMS EVT+5 DEST Y

THIS RECORD SERIES CONTAINS REPORTS OF HOME AND BRANCH OFFICE EXAMINATIONS OF THE BOOKS, RECORDS AND SALES PRACTICES OF LICENSED BROKER-DEALERS AND INVESTMENT ADVISORS AS REQUIRED BY SECTION 551.411(4) WIS STATS. THESE REPORTS CONTAIN CONFIDENTIAL INFORMATION UNDER S. 551.607(2)(A) INCLUDING THE EXAMINER'S REPORT LISTING FINDINGS AND DEFICIENCIES, CORRESPONDENCE CONCERNING THE EXAMINATION, EVIDENCE GATHERED RELATING TO THE EXAMINATION, AND INVOICED FOR EXAM EXPENSES AND FEES.

THE EXAM INFORMATION IS RETAINED IN ELECTRONIC FORMAT.

EVENT = CLOSED / TERMINATED / DEATH

00116000. INVESTMENT ADVISER AND REPRESENTATIVE APPLICATIONS EVT+6 DEST Y

THIS RECORD CONTAINS CALENDAR YEAR FILINGS BY INVESTMENT ADVISERS AND REPRESENTATIVES AS REQUIRED BY SECTIONS 551.406(1) THROUGH (6) AND 551.411(1) THROUGH (3), WIS STATS AND RELATED RULES WHICH INCLUDE

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APPLICATIONS WITHDRAWN OR TERMINATED, AMENDMENTS TO APPLICATIONS, ANNUAL FINANCIAL REPORTS AND LICENSE RENEWAL APPLICATIONS, AND BRANCH OFFICE REGISTRATIONS. THESE RECORDS MAY ALSO INCLUDE INFORMATION REGARDING CIVIL SUITS FILED AGAINST THE LICENSEE AND OTHER INFORMATION RELATED TO THE BUSINESS OF THE LICENSEE.

INVESTMENT ADVISOR APPLICATIONS ARE SCANNED AND THE PAPER COPY DESTROYED AFTER QUALITY CONTROL AND IMAGE INSPECTION. INVESTMENT ADVISOR REPRESENTATIVE APPLICATIONS ARE RETAINED IN PAPER FORMAT.

EVENT = CLOSED / TERMINATED / DEATH

00117000. FRANCHISE REGISTRATION APPLICATION EVT+3 DEST N

ALL FRANCHISE OFFERINGS MUST BE REGISTERED WITH THE DEPARTMENT OF FINANCIAL INSTITUTIONS (DFI), DIVISION OF SECURITIES, UNDER 553.26 OF THE WISCONSIN STATUTES, AT THE TIME OF A FRANCHISE SALE IN WISCONSIN. FRANCHISE REGISTRATION FILING MATERIALS INCLUDE A FRANCHISE APPLICATION FORM, A CONSENT TO SERVICE OF PROCESS (UNLESS PREVIOUSLY FILED BY THE FRANCHISOR), AND A FRANCHISE DISCLOSURE DOCUMENT. THESE DOCUMENTS MUST BE SUBMITTED TO DFI, AND ARE EFFECTIVE UPON RECEIPT. FRANCHISE REGISTRATIONS EXPIRE 1 YEAR AFTER THEIR EFFECTIVE DATE.

DURING THE ACTIVE REGISTRATION PERIOD, FRANCHISORS MAY ALSO SUBMIT AMENDED FILING DOCUMENTS. THESE DOCUMENTS ARE KEPT AS A PART OF THE REGISTRATION FILING, AND ARE CONSIDERED ACTIVE UNTIL THE END OF THE ORIGINAL REGISTRATION PERIOD, AND ARE ALSO KEPT FOR 3 YEARS AFTER THE FRANCHISE REGISTRATION EXPIRES.

DFI WILL STORE THE PAPER RECORDS ON-SITE FOR THE FIRST YEAR, DURING THE ACTIVE REGISTRATION PERIOD. AFTER THAT TIME, THE PAPER RECORDS WILL BE SENT TO THE RECORDS CENTER FOR THE FOLLOWING 3 YEARS, UNTIL DESTRUCTION.

PLEASE NOTE THAT DFI IS ALSO IMPLEMENTING A SYSTEM IN THE LAST QUARTER OF 2009 WHICH WILL ALLOW FRANCHISORS AND PERSONS / ENTITIES ACTING ON THEIR BEHALF, TO FILE THE ABOVE MATERIALS IN ELECTRONIC FORMAT. AS SUCH, OVER TIME, FEWER PAPER RECORDS WILL BE RECEIVED BY THE DFI, AND THUSLY FEWER PAPER RECORDS WILL BE SENT TO THE RECORDS CENTER. ANY ELECTRONIC RECORDS RECEIVED BY DFI WILL BE STORED BY DFI ON DFI SERVERS, AND WILL BE MANAGED AND DESTROYED PER THIS RDA BY DFI.

EVENT = REGISTRATION EXPIRES

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Retention Changed At Request Of Shs From Transfer To Shs To Destroy.

**00117E00.** **FRANCHISE EXEMPTION FILINGS** **EVT+25** **DEST** **N**

ALL FRANCHISES OFFERED AND SOLD IN WISCONSIN MUST BE EITHER REGISTERED OR EXEMPT FROM REGISTRATION WITH THE DEPARTMENT OF FINANCIAL INSTITUTIONS (DFI), DIVISION OF SECURITIES. FOR EXEMPTION, A REQUEST FOR DISCRETIONARY ORDER OF EXEMPTION MUST BE FILED PURSUANT TO S. 553.25, WIS STATS AND BE ACCOMPANIED BY SUFFICIENT DOCUMENTATION FOR THE DIVISION TO DETERMINE THAT REGISTRATION IS NOT NECESSARY OR APPROPRIATE IN THE PUBLIC INTEREST, OR FOR THE PROTECTION OF PROSPECTIVE FRANCHISEES.

EVENT = CLOSED / TERMINATED / DEATH

**00118000.** **SECURITIES EXEMPTION NOTICES & EXEMPTION ORDER REQUESTS** **EVT+6** **DEST** **N**

THIS RECORD SERIES INCLUDES EXEMPTION NOTICES AND EXEMPTION ORDER REQUESTS. ALL SECURITIES OFFERED AND SOLD IN WISCONSIN MUST BE EITHER REGISTERED OR EXEMPT FROM REGISTRATION WITH THE DEPARTMENT OF FINANCIAL INSTITUTIONS, DIVISION OF SECURITIES. FOR EXEMPTION, A NOTICE MUST BE FILED PURSUANT TO S. 551.201 OR 551.202, WIS. STATS. AND INCLUDE THE INFORMATION REQUIRED TO BE SUBMITTED TO ESTABLISH AVAILABILITY OF THE EXEMPTION (SUCH AS PROSPECTUS, TRUST INDENTURE OR OTHER PRESCRIBED INFORMATION, TOGETHER WITH THE REQUIRED FILING FEE). A REQUEST FOR DISCRETIONARY ORDER OF EXEMPTION MUST BE FILED PURSUANT TO S. 551.203, WIS STATS AND BE ACCOMPANIED BY SUFFICIENT DOCUMENTATION (SUCH AS PROSPECTUS AND FINANCIAL STATEMENTS) TO ENABLE THE DIVISION TO DETERMINE THAT REGISTRATION IS NOT NECESSARY OR APPROPRIATE IN THE PUBLIC INTEREST OR FOR THE PROTECTION OF INVESTORS.

EVENT = CLOSED / TERMINATED / DEATH

**00119000.** **SECURITIES REGISTRATION APPLICATIONS** **EVT+6** **DEST** **N**

ALL SECURITIES OFFERED AND SOLD IN WISCONSIN MUST BE EITHER REGISTERED OR EXEMPT FROM REGISTRATION WITH THE DEPARTMENT OF FINANCIAL INSTITUTIONS, DIVISION OF SECURITIES. FOR REGISTRATION, PROSPECTIVE SECURITIES ISSUERS MUST SUBMIT MATERIALS INCLUDING PROSPECTUS, FINANCIAL STATEMENTS AND CORPORATE GOVERNANCE DOCUMENTS FOR EXAMINATION BY THE STAFF PURSUANT TO SEC. 551.303 OR 551.304, WIS STATS.

EVENT = CLOSED / TERMINATED / DEATH

**00121000.** **TRADE SECRET FILES** **EVT+6** **DEST** **N**

THIS RECORD SERIES CONSISTS OF CERTAIN INFORMATION FILED WITH THIS DEPARTMENT RELATED TO AN OPINION OR EXEMPTION REQUEST OR FILING WHICH HAS BEEN ACCORDED CONFIDENTIAL "TRADE SECRET" STATUS PURSUANT TO 19.36(5), WIS STATS AS DEFINED IN 134.90(1) WIS STATS FOR THE PURPOSE OF THE WISCONSIN OPEN RECORDS LAW. THIS INFORMATION IS DOCUMENTARY IN FORM, HAS BEEN SEPARATED FROM THE SUBJECT FILING AND IS MAINTAINED IN THE CHIEF ATTORNEY'S OFFICE IN CHRONOLOGICAL ORDER.

EVENT = CLOSED / TERMINATED / DEATH

**00122000.** **CIVIL LAWSUIT FILES** **EVT+6** **DEST** **N**

THIS RECORD SERIES CONTAINS COPIES OF CIVIL LAWSUITS FILED WITH THE DIVISION BY LICENSEES PURSUANT TO SECTION 4.04(2) WIS ADM CODE, 5.04(2) WIS ADM CODE, OR PRIVATE PARTIES PURSUANT TO SEC. 551.611 WIS STATS. THIS RECORD SERIES ALSO CONTAINS COPIES OF ALL LAWSUITS AND RELATED PLEADINGS IN WHICH THE DIVISION IS A NAMED PARTY. THIS RECORD SERIES CONSISTS EXCLUSIVELY OF COPIES OF COURT DOCUMENTS, IS MAINTAINED CHRONOLOGICALLY BY NATURE OF THE LITIGANT.

EVENT = CLOSED / TERMINATED / DEATH

**00123000.** **ENFORCEMENT RELATED ADMINISTRATIVE ORDERS** **EVT+50** **SHSW** **N**

THIS RECORD SERIES CONSISTS OF ALL ENFORCEMENT RELATED ADMINISTRATIVE ORDERS ISSUED BY THE DIVISION AS A RESULT OF STAFF PETITIONS FILED BY THE LEAGL SERVICES UNIT. THESE ORDERS ARE IN CHRONOLOGICAL

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ORDER AND ARE MAINTAINED IN LEGAL SERVICES AND ARE USED MAINLY FOR REFERENCE PURPOSES. THESE FILES ARE OPEN TO PUBLIC INSPECTION.

EVENT = CLOSED / TERMINATED / DEATH

<b>00124000.</b>	<b><u>ENFORCEMENT FILES</u></b>	<b><u>EVT+25</u></b>	<b><u>DEST</u></b>	<b><u>Y</u></b>
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THIS RECORD SERIES CONTAINS INFORMATION GATHERED DURING INVESTIGATIONS AUTHORIZED BY SS 551.602 WIS. STATS. INCLUDES COMPLAINTS, STATEMENTS, DOCUMENTS, CORRESPONDENCE AND EVIDENCE IN DOCUMENTARY FORM, BUT OCCASIONALLY ON AUDIO OR VIDEO TAPES/CD'S. ALSO CONTAINS STAFF NOTES, PETITIONS, ADMINISTRATIVE ORDERS AND ADMINISTRATIVE HEARING RELATED DOCUMENTS. THESE RECORDS MAY CONTAIN INFORMATION RECEIVED FROM OTHER STATE AND FEDERAL REGULATORY AGENCIES, SELF-REGULATORY AGENCIES AND INFORMATION CONCERNING CRIMINAL REFERRAL, PROSECUTION AND SENTENCING.

THIS RECORD SERIES MAY CONTAIN CONFIDENTIAL INFORMATION WHICH IS SEPARATE AND CLEARLY IDENTIFIED IN EACH RECORD. SEE WIS. ADMIN. CODE SS DFI - SEC. 7.05(1) AND WIS. STATS. SS 19.36(1) AND 905.09.

RETENTION: EVENT(CASE CLOSED) + 25 YEARS AND DESTROY CONFIDENTIAL.

<b>00125000.</b>	<b><u>DIVISION STATUTE REVISION</u></b>	<b><u>CR+50</u></b>	<b><u>SHSW</u></b>	<b><u>N</u></b>
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DIVISION STATUTE REVISION FILES CONTAINING ALL RELEVANT INFORMATION (LEGISLATIVE BILL DRAFTS, COMMENT LETTERS, HEARING DOCUMENTS, FISCAL ESTIMATES) RELATING TO SPECIFIC STATUTE REVISION LEGISLATIVE PROPOSALS SPONSORED BY THE DIVISION.

CR + 50 YEARS AND TRANSFER TO STATE ARCHIVES (WHS).

<b>00126000.</b>	<b><u>CORPORATE TAKEOVER-OWNERSHIP INFORMATION FILINGS</u></b>	<b><u>EVT+25</u></b>	<b><u>DEST</u></b>	<b><u>N</u></b>
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CORPORATE TAKEOVER OWNERSHIP INFORMATION FILINGS MADE UNDER 552.03, WIS STATS BY PERSONS ACQUIRING MORE THAN 5% OF THE EQUITY SECURITIES OF "TARGET COMPANY" AS DEFINED UNDER THE CORPORATE TAKEOVER LAW.

EVENT = CLOSED/ TERMINATED / DEATH.

<b>00127000.</b>	<b><u>CORPORATE TAKEOVER-REGISTRATION FILING</u></b>	<b><u>EVT+10</u></b>	<b><u>DEST</u></b>	<b><u>N</u></b>
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CORPORATE TAKEOVER REGISTRATION FILINGS UNDER SEC 552.05, WIS STATS, BY PARTIES MAKING A "TAKEOVER OFFER" AS DEFINED , FOR A SPECIFIC "TARGET COMPANY" COVERED BY THE CORPORATE TAKEOVER LAW. MAY INCLUDE HEARING INFORMATION IF A HEARING IS CALLED WITH RESPECT TO A PARTICULAR TAKEOVER OFFER.

EVENT = CLOSED / TERMINATED / DEATH

<b>00129000.</b>	<b><u>SECURITIES &amp; FRANCHISE INTERPRETIVE OPINIONS &amp; CONFIRMING REGIS</u></b>	<b><u>EVT+25</u></b>	<b><u>SHSW</u></b>	<b><u>N</u></b>
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UNDER THE DIVISIONS AUTHORITY IN SEC. 551.605(4) AND 553.78(5) WIS STATS, THE DIVISION CAN ISSUE WRITTEN OPINIONS UNDER THE SECURITIES AND FRANCHISE LAWS INTERPRETING APPLICABILITY OF THOSE LAWS TO SPECIFIC FACT SITUATIONS AND CONFIRMAING WHETHER SPECIFIC EXEMPTIONS FROM THE REGISTRATION REQUIREMENT UNDER THOSE LAWS ARE AVAILABLE FOR USE.

EVENT = CLOSED / TERMINATED / DEATH

<b>00130000.</b>	<b><u>FEDERAL COVERED SECURITY FILINGS (INCLUDES MUTUAL FUND FILINGS</u></b>	<b><u>EVT+6</u></b>	<b><u>DEST</u></b>	<b><u>N</u></b>
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THIS RECORD SERIES INCLUDES FEDERAL COVERED SECURITY RECORDS PURSUANT TO SECTIONS 551.302(1) AND (3) AND INCLUDE MUTUAL FUND INITIAL FILINGS, MUTUAL FUND NAME CHANGES, MUTUAL FUND TERMINATIONS, AND AMENDMENT DOCUMENTS. THIS SERIES ALSO INCLUDES REGULATION D / RULE 506 FILINGS AND MUTUAL FUND SALES REPORTS.

EVENT = CLOSED / TERMINATED / DEATH

<b>00151000.</b>	<b><u>PHOENIX PROFESSIONAL AND PRODUCT REGISTRATION RECORDS</u></b>	<b><u>EVT+10</u></b>	<b><u>DEST</u></b>	<b><u>N</u></b>
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THIS RDA IS APPLICABLE ONLY TO RECORDS STORED BY THE PHOENIX APPLICATION, WHICH MAY EXIST, IN PLACES, ON PAPER FORMS SUBMITTED TO THIS OFFICE, BUT WHICH MAY EXIST ONLY IN THE PHOENIX APPLICATION, INFORMATION FROM CENTRAL REGISTRATION DEPOSITORY (CRD-FINRA) WHICH IS MANUALLY ENTERED BY STAFF DURING PROCESSING AND INFORMATION FROM BRANCH OFFICE ONLINE (BOO) WHICH WILL ELECTRONICALLY UPDATE. THESE RECORDS CONTAINS INFORMATION REGARDING REGISTRATION OF BROKER DEALERS, INVESTMENT ADVISERS, AGENTS AND BRANCH OFFICES AS WELL AS BROKER DEALER & INVESTMENT ADVISER FIELD EXAMS.

EXAMPLES MAY INCLUDE: PROCESSING/APPROVAL DATES AND STATUS NOTES MADE BY STAFF, .PDF SCANS OF CORRESPONDENCE PERTAINING ONLY TO INFORMATION IN THE PHOENIX SYSTEM. AS SUCH, THIS RDA IS SEPARATE FROM, AND DESCRIBES A DIFFERENT DATA SET, THAN THE RDA WHICH APPLIES TO THE PAPER FORMS AND ANY

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IMAGED COPIES OF SAID FORMS.

RETENTION: EVENT(AFTER FILE IS WITHDRAWN OR TERMINATED) + 10 YEARS AND DESTROY CONFIDENTIAL

Dept #: /7100/ Department Name: SECRETARY'S OFFICE

RDA #	RDA Title	Retention	Disposition	PII
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<u>00024000.</u>	<u>SPEECH MATERIALS</u>	<u>EVT+5</u>	<u>SHSW</u>	<u>N</u>
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THIS RECORDS SERIES CONTAINS SPEECHES PRESENTED BY THE SECRETARY OR OTHER DEPARTMENT OF FINANCIAL INSTITUTIONS STAFF ON BEHALF OF THE DEPARTMENT.

MATERIALS INCLUDE:  
PRESENTATIONS AND SPEECHES ON BEHALF OF THE DEPARTMENT. TOPICS SUCH AS INVESTOR PROTECTION AND INVESTOR EDUCATION, FINANCIAL LITERACY EDUCATION, CREDIT UNIONS, UCC AND CORPORATIONS INFORMATION. ALSO MAY INCLUDE SAFE AND SOUND MANAGEMENT PRACTICES OF BANKING IN WISCONSIN AND EXPANDING TOUGHTER PROTECTION FOR CONSUMERS IN THE LICENSING AND REGULATING OF A VARIETY OF LENDERS, FINANCE COMPANIES, AUTO DEALERS, PREMIUMS ON OPTIONAL LIFE AND SICKNESS CREDIT INSURANCE POLICIES AND RIGHT TO CANCEL GRACE PERIODS, UNDERSTANDING CREDIT, DEBT COLLECTIONS AND OTHER CONSUMER TOPICS, AS WELL AS REGARDING AUTO BROKERS, CREDIT REPAIR BUSINESSES, DEALER'S WARRANTY CONTRACTS AND INTEREST RATES ON LOANS. PRESENTATION MATERIALS CAN BE PAPER AS WELL AS ELECTRONIC IE. POWER POINT, AV AIDES ETC.

RETAIN FOR 5 YEARS AND TRANSFER TO SHS AFTER SPEECH HAS BEEN PRESENTED.

<u>00152000.</u>	<u>COMPLAINTS AND ORDERS - NOTRAY COMMISSION</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
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THIS RECORD SERIES CONTAINS COMPLAINTS AND ORDERS RECEIVED BY THE DEPARTMENT OF FINANCIAL INSTITUTIONS REGARDING THOSE LISTED BELOW.

THE DEPARTMENT SUPERVISES THE FOLLOWING COMMISSIONED UNDER WISCONSIN STATUTES SECTION:  
S. 137.01 - FOUR-YEAR COMMISSION NOTARY PUBLIC  
S. 137.02 (2) - PERMANENT COMMISSION NOTARY PUBLIC

THE COMPLAINTS AND ORDERS INCLUDE THOSE:  
1.) INVESTIGATED BY THE DEPARTMENT OF FINANCIAL INSTITUTIONS LEGAL COUNSEL.  
2.) VOLUNTARY RESIGNATION FROM PRACTICE OF LAW.  
3.) CORRESPONDENCE REGARDING THE ABOVE.

RETENTION: EVENT(CLOSED) + 10 YEARS AND DESTROY CONFIDENTIAL

Dept #: /8100/ Department Name: FINANCIAL LITERACY

RDA #	RDA Title	Retention	Disposition	PII
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<u>00148000.</u>	<u>FINANCIAL LITERACY / COLLEGE AFFORDABILITY</u>	<u>CR+5</u>	<u>SHSW</u>	<u>N</u>
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Materials used for training and outreach relating to the promotion of financial literacy and college affordability. Materials may include agendas, syllabi, instructional program materials, PowerPoint presentations, exhibit handouts, promotional flyers, brochures, ads, etc.

Note: Materials relating to the Governor's Councils on Financial Literacy, task forces, etc. are under ADM00025.

EVENT = Creation