

144-FINANCIAL INSTITUTIONS

RDA #	RDA Title	Retention	Disposition	PII
<u>00001000.</u>	<u>EXAMINATION WORKPAPERS</u>	<u>EVT+0/1</u>	<u>DEST</u>	<u>N</u>
	<p>This record series includes critiques, 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 Wis. Stat. §§ 220.04, 214.725 and 215.03 Wis. Statutes.</p> <p>If the examination workpapers result in a finding that is cited in the examination report, those specific documents become a part of the examination report. The examination report is then retained for 15 years after the examination is superseded or the institutions ceases to exist, per RDA 32A, State Examination Reports - Banks, Trust Companies, and Savings Institutions. The remaining examination workpapers are retained under this RDA.</p> <p>Workpapers will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61 (7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.</p> <p>RETENTION: EVENT (Superseded by DFI examination) + 1 month and destroy confidential</p>			
<u>00006000.</u>	<u>LITIGATIONS & 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: EVENT (Closed) + 20 years and transfer to State Historical Society</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. §§ 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: EVENT (Appeal period has expired) + 10 years and destroy confidential</p>			
<u>00008000.</u>	<u>LEGAL INTERPRETATIONS & 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. Some memoranda and almost all letters issued by the agency are external, while other memoranda are for internal use only.</p> <p>Records in this series are closed when the underlying complaint, question, or legal issue has been addressed and the agency's legal counsel reasonably believes no further action on that matter is requested or required.</p> <p>Records in this series may contain confidential attorney-client privilege records which are not subject to disclosure, per Wis. Stat. §§ 19.35(1)(a) and 905.03.</p> <p>RETENTION: EVENT (Closed) + 10 years and transfer to State Historical Society</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 impact the division. This series is not a duplicate of the Legislative Reference Bureau files but includes legal background documentation of the division activities in the history of legislative bills and related correspondence.</p> <p>RETENTION: EVENT (Creation) + 20 years and transfer to State Historical Society</p>			
<u>00014000.</u>	<u>BANKING AND SAVINGS INSTITUTIONS REVIEW BOARD - CLOSED FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
	<p>The Banking Review Board and Savings Bank Review Board were governed by Wis. Stat §§ 220.035, 214.78-214.785, and 215.04, respectively. The Banking Institutions Review Board is governed by Wis. Stat §§ 220.035, 214.78-214.785, and 215.04. Final orders and determinations are subject to judicial review under Wis. Stat. ch. 227. In addition, the Banking Review Board and Savings Bank Review Board advised and reviewed the acts and decisions of the divisions. The Banking Institutions Review Board advises and reviews the acts and decisions of the division.</p> <p>This records series includes background information for review board meetings, including financial and biographical information on applicants. This records series also includes the confidential records on appeals, reviews of orders of the</p>			

division, correspondence, legal data, and related matters per Wis. Stat §§ 220.035, 214.78-214.785, and 215.04.

RETENTION: EVENT (Date of Meeting) + 10 years and destroy confidential

<u>00015000.</u>	<u>BANKING AND SAVINGS INSTITUTIONS REVIEW BOARD - PUBLIC RECORDS</u>	<u>CR+20</u>	<u>SHSW</u>	<u>N</u>
-------------------------	--	---------------------	--------------------	-----------------

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 and Savings and Loan Review Board, advises and reviews the acts and decisions of the divisions. Records may be paper or scanned.

RETENTION: EVENT (Creation) + 20 years and transfer to State Historical Society

<u>00020000.</u>	<u>BONDS AND BOND CANCELLATIONS</u>	<u>EVT+1</u>	<u>DEST</u>	<u>N</u>
-------------------------	--	---------------------	--------------------	-----------------

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

<u>00030000.</u>	<u>BANK AND S&L'S HOLDING COMPANY FILES</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
-------------------------	--	---------------------	--------------------	-----------------

This records series includes confidential and non-confidential bank holding company applications and correspondence furnished to the divisions under Wis. Stat. §§ 221.0526, 214.085, and 214.09. This series also includes applications, compliance reports, Community Reinvestment Act ratings, deposit information, notice requirements, enforcement actions, examinations and related correspondence, authorized by Wis. Stat. §§ 221.0901, 221.0903, 214.09, 214.16, 214.165, 214.17(4), and 215.36.

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 Wis. Stat. § 215.64. Records include annual meeting notice, application for conversion with amendments and exhibits, appraisal, securities registration, prospectus, subscription offering, and correspondence.

Records in this series are closed when the holding company is no longer a bank holding company.

RETENTION: EVENT (Closed) + 5 years and destroy confidential

<u>00031000.</u>	<u>FEDERAL EXAMINATION REPORTS - BANKS, TRUST COMPANIES, HOLDING</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
-------------------------	---	---------------------	--------------------	-----------------

This record series includes confidential federal examination reports of state-chartered banks, trust companies, and savings institutions as provided under Wis. Stat. §§ 220.04, 214.725, and 215.03(2). This series includes federal holding company inspection reports and examination reports of the Federal Deposit Insurance Corporation and Federal Reserve Bank.

RETENTION: EVENT (Superseded) +5 years and destroy confidential

<u>00032A00.</u>	<u>STATE EXAMINATION REPORTS - BANKS, TRUST COMPANIES AND SAVINGS</u>	<u>EVT+15</u>	<u>DEST</u>	<u>Y</u>
-------------------------	--	----------------------	--------------------	-----------------

This records series includes examination reports of state-chartered banks, trust companies, and fiduciaries under Wis. Stat. §223.105. and savings institutions with confidential records of personal accounts, as provided under Wis. Stat. §§ 220.04, 214.725, and 215.03(2). Documents include state examination audits, special investigation reports, critiques and responses, and special examinations.

Event is when the examination is superseded or when the institution ceases to exist.

RETENTION: EVENT (examination is superseded or when the institution ceases to exist) + 15 years and destroy confidential

<u>00034A00.</u>	<u>LICENSE RENEWAL APPLICATIONS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
-------------------------	--	---------------------	--------------------	-----------------

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, §§ 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. §§ 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: EVENT (Superseded) + 3 years and destroy confidential

<u>00037000.</u>	<u>EXAMINATION REPORTS OF LICENSEES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
-------------------------	--	----------------------	--------------------	-----------------

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. STATS.: § 218.05 Community Currency Exchanges; § 138.09 Loan Companies; § 218.0101-218.1263 Sales Finance Companies, including dealers; § 218.02 Adjustment Service Companies; § 218.04 Collection Agencies and Solicitors/Collectors; § 224.72 Mortgage Bankers and Mortgage Brokers; § 138.14 Payday Lenders; § 217 Seller of Checks; § 138.12 Insurance Premium Finance Companies.

Record series is confidential per Wis. Stat. § 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: EVENT (Terminated license or exam superseded) + 10 years and destroy confidential

<u>00038000.</u>	<u>ANNUAL REPORT OF LICENSED COMPANIES</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>Y</u>
-------------------------	---	----------------------	--------------------	-----------------

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

Record Series is confidential per Wis. Stat. § 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, birthdate or federal employee identification number.

RETENTION: EVENT (Superseded) + 10 years and transfer to State Historical Society

<u>00043000.</u>	<u>STATE BANK, SAVINGS BANK, AND SAVINGS & LOAN FILES</u>	<u>EVT+20</u>	<u>SHSW</u>	<u>N</u>
-------------------------	--	----------------------	--------------------	-----------------

This series includes the following records for state banks, trust companies, fiduciaries under Wis. Stat. § 223.105, 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 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, 214.685, 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(36), 215.13(47), 215.63, 215.73, 215.58, 215.03(7) and 215.02(18).

The application file includes 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 Historical Society

<u>00085000.</u>	<u>DENIED OR WITHDRAWN APPLICATIONS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
-------------------------	--	----------------------	--------------------	-----------------

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 §§ 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.

RETENTION: EVENT (Denied or withdrawn) + 10 years and destroy confidential

<u>00086000.</u>	<u>LICENSEE FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
-------------------------	------------------------------	----------------------	--------------------	-----------------

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 §§ 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.

RETENTION: EVENT (Closed) +10 years and destroy confidential

<u>00112000.</u>	<u>CHARTER CONVERSIONS TO NATIONAL/FEDERAL CHARTERS OR ABSORP</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
-------------------------	--	---------------------	--------------------	-----------------

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 Wis. Stat. §§ 221.0217, 214.68, 215.57, and 215.77; and of mergers or absorptions where the resultant institution is a national bank, federal savings bank, or federal association, as provided under Wis. Stat. §§ 221.0703, 214.155, 215.63, and 215.73.

RETENTION: EVENT (Conversion or absorption) + 5 years and destroy confidential

<u>00131000.</u>	<u>NON-LICENSED PARTIES - CORRESPONDENCE FILE</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>N</u>
-------------------------	--	----------------------	--------------------	-----------------

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.

RETENTION: EVENT (Closed) + 10 years and transfer to State Historical Society

<u>00133000.</u>	<u>COMPLAINTS AND INQUIRIES</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
-------------------------	--	---------------------	--------------------	-----------------

Complaints and inquiries received by the Department &/or Division of Banking where action is authorized by Wis. Stats. § 426.104(1) (a) & (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.

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.

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.

Record series contains content that access is protected under Wisconsin Stat. § 220.06

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.

RETENTION: EVENT (File closed/decision/final) + 7 years and destroy confidential

Dept #: /1100/ Department Name: ADMINISTRATION

RDA # RDA Title Retention Disposition PII

00142000. STATEMENT OF ECONOMIC INTEREST EVT+3 DEST Y

Records consist of Statements of Economic Interests for all covered employees or other employees designated by the Division Administrator. The Statements include information, complete as of December 31 of the past year, related to business relationships with financial institutions and financial institution 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

Each employee completes a sworn statement of interest within 30 days of commencing employment and annually by May 1.

RETENTION: EVENT (Superseded) + 3 years and destroy confidential

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

RDA # RDA Title Retention Disposition PII

00007000. LITIGATION FILES - BANKS EVT+25 SHSW N

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 Historical Society

00019000. LISTS OF STOCKHOLDERS AND REPORTS OF TRANSFERS OF BANK STOCK EVT+5 DEST Y

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 Wis. Stat. § 221.1002(4). Updates to the List of Stockholders are made by means of Reports of Transfer of Bank Stock. Wis. Stat. § 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 Wis. Stat. § 221.1002(4).

RETENTION: EVENT (When superseded or closed) + 5 years and destroy confidential

00029000. WITHDRAWN OR DENIED APPLICATION FILES EVT+10 DEST Y

This record series includes the application files for state banks, savings banks, and savings and loan associations. This includes the original applications, acquisition applications, and applications for: branches, share exchanges, limited offices, extended offices, absorptions, mergers, interim institutions, organizational conversion, office relocation, and trust powers.

This record series includes the applications listed above 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 numbers, credit reports, criminal background information, bank account numbers, personal financial statements, race, birthdate, and/or federal employee identification number.

RETENTION: EVENT (Date withdrawn or denied) + 10 years and destroy confidential

00043A00. STATE BANK, SAVINGS BANK, AND SAVINGS & LOAN CONFIDENTIAL SUPP EVT+5 DEST Y

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.

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

RDA #	RDA Title	Retention	Disposition	PII
-------	-----------	-----------	-------------	-----

RETENTION: EVENT (Facility ceases to exist) + 5 years and destroy confidential

<u>00094000.</u>	<u>CORRESPONDENCE - STATE CHARTERED FINANCIAL INSTITUTIONS</u>	<u>CR+5</u>	<u>DEST</u>	<u>N</u>
------------------	--	-------------	-------------	----------

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.

RETENTION: EVENT (Creation) + 5 years and destroy

<u>00098000.</u>	<u>UNCLAIMED LIQUIDATED ASSOCIATION FUND RECORDS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
------------------	--	--------------	-------------	----------

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 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.

RETENTION: EVENT (Liquidated) + 5 years and destroy confidential

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

RDA #	RDA Title	Retention	Disposition	PII
-------	-----------	-----------	-------------	-----

<u>00005000.</u>	<u>FORMS PRACTICES AND PROCEDURES - NON-LICENSED</u>	<u>EVT+25</u>	<u>DEST</u>	<u>N</u>
------------------	--	---------------	-------------	----------

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.

RETENTION: EVENT (After approved/denied) + 25 years and destroy

<u>00041000.</u>	<u>CONSUMER ACT REGISTRATION</u>	<u>EVT+5</u>	<u>DEST</u>	<u>N</u>
------------------	----------------------------------	--------------	-------------	----------

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: EVENT (Entered into data system) + 5 years and destroy

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

RDA #	RDA Title	Retention	Disposition	PII
-------	-----------	-----------	-------------	-----

<u>00002000.</u>	<u>EXAMINATION WORKPAPERS</u>	<u>EVT+0/3</u>	<u>DEST</u>	<u>Y</u>
------------------	-------------------------------	----------------	-------------	----------

The Division of Banking supervises various types of licensees, including loan companies, adjustment service companies, sellers of checks, collection agencies, community currency exchanges, sales finance companies, motor vehicle dealers, payday lenders, mortgage bankers and mortgage brokers, and insurance premium finance companies.

The Division performs audits by asking the licensee to supply various items necessary to perform the examination. Examples of these examination workpapers are bank statements, check registers, dealer contracts, purchase contracts, insurance logs, reserve statements, loan agreements, loan application documents, and payment histories. Also included are Examiner notes and critiques.

RDA #	RDA Title	Retention	Disposition	PII
-------	-----------	-----------	-------------	-----

If the examination workpapers result in a finding that is cited in the examination report, those specific documents become a part of the examination report. The examination report is then retained for 10 years after the license is terminated or the exam is superseded, per RDA 37, Examination Reports of Licensees. The remaining examination workpapers are retained under this RDA.

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

RETENTION: EVENT (examination closed) + 3 months and destroy confidential

<u>00005A00.</u>	<u>FORMS PRACTICES AND PROCEDURES - LICENSED</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
------------------	--	---------------	-------------	----------

This record series includes requests to review any act, practice, procedure, form and any other submissions 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: EVENT (Date of licensee termination) + 10 years and destroy

<u>00035000.</u>	<u>BUSINESS RECORDS OF LICENSEES</u>	<u>EVT+1</u>	<u>DEST</u>	<u>Y</u>
------------------	--------------------------------------	--------------	-------------	----------

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. Stat. § 218.04(9m). The disposition of records is addressed in Wis. Stats. §§ 218.04(9m)(d) and 218.04(9m)(h).

Under the provisions of Wis. Stat. § 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. §§ 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.

RETENTION: EVENT (Final liquidation approved by court) + 1 year and destroy confidential

<u>00086A00.</u>	<u>LICENSES FILES MOTOR VEHICLE</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
------------------	-------------------------------------	--------------	-------------	----------

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.

This Department of Financial Institutions supervises the following entities licensed under Wisconsin Statutes, §§ 218.0101-218.0163 Sales Finance Companies- Motor Vehicle Dealers, 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.

RETENTION: EVENT (No longer licensed by DOT) + 5 years and destroy confidential

<u>00132000.</u>	<u>SURETY BONDS, DEPOSITS IN LIEU OF SURETY BONDS, AND LETTER OF C</u>	<u>EVT+7</u>	<u>DEST</u>	<u>N</u>
------------------	--	--------------	-------------	----------

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.

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

RDA #	RDA Title	Retention	Disposition	PII
-------	-----------	-----------	-------------	-----

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.

RETENTION: EVENT (Closed) + 7 years and destroy confidential

Dept #: /3100/ Department Name: CORPORATION FILING

RDA #	RDA Title	Retention	Disposition	PII
-------	-----------	-----------	-------------	-----

<u>00045000.</u>	<u>DAILY JOURNAL</u>	<u>CR+25</u>	<u>DEST</u>	<u>Y</u>
------------------	----------------------	--------------	-------------	----------

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.

RETENTION: EVENT (Creation) + 25 years and destroy confidential

<u>00046000.</u>	<u>SERVICE OF PROCESS</u>	<u>EVT+5</u>	<u>DEST</u>	<u>Y</u>
------------------	---------------------------	--------------	-------------	----------

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.

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.

RETENTION: EVENT (Date filed with DFI) + 5 years and destroy confidential

<u>00049000.</u>	<u>NAME RESERVATION APPLICATION - SHORT TERM & LONG TERM</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
------------------	--	---------------	-------------	----------

Application to reserve exclusive use of an 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.

RETENTION: EVENT (After reservation expires) + 10 years and destroy confidential

<u>00050000.</u>	<u>NAME REGISTRATION APPLICATION - FOREIGN CORPORATION OR FOREIGN</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
------------------	---	--------------	-------------	----------

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 certificate of status issued by the Secretary of State (or other official having custody of corporate records) under whose laws it is incorporated, attesting to the existence and status of the corporation.

Dept #: 3100/ Department Name: CORPORATION FILING

RDA # RDA Title Retention Disposition PII

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: EVENT (After registration expires) + 3 years and destroy confidential

00072000. **REVOCAATION / 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 companies 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

RETENTION: EVENT (Final notice is posted to DFI Internet site) + 3 months and destroy confidential

00079000. **CHARTER / REGISTRATION DOCUMENTS** **EVT+25** **SHSW** **Y**

This record series consists of the charter documents or registration statements of domestic and foreign limited liability partnerships, limited partnerships, business corporations, non-stock corporations, limited liability companies, cooperative associations, veteran's organizations, religious societies, cable/video service franchises 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. §§ 66.0420, 178, 179, 180, 181, 183, 185, 187, 188, 190, 226 and other sections of the Wisconsin Statutes.

Documents and statements include, but are not limited to, articles of incorporation or organization, registration statements, amendments or corrections, 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.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Three months after verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (When entity ceases to exist) + 25 years and transfer to State Historical Society

00080000. **ANNUAL REPORTS AND NEWLY ELECTED OFFICERS AND DIRECTORS (PAP** **EVT+0/3** **DEST** **Y**

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.

RETENTION: EVENT (Quality control complete) + 3 months and destroy confidential

00080A00. **ANNUAL REPORTS & NEWLY ELECTED OFFICERS & DIRECTORS** **EVT+25** **SHSW** **Y**

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.

RETENTION: EVENT (Date (year) accepted/filed at DFI) + 25 years and transfer to State Historical Society

00134000. **CORPORATE REGISTRATION INFORMATION SYSTEM - DATA ONLY** **EVT+50** **SHSW** **Y**

RDA #	RDA Title	Retention	Disposition	PII
-------	-----------	-----------	-------------	-----

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 Historical Society

<u>00136000.</u>	<u>ON-LINE CHARTER DOCUMENT FILINGS</u>	<u>EVT+50</u>	<u>SHSW</u>	<u>Y</u>
-------------------------	--	----------------------	--------------------	-----------------

The on-line charter document filing system was established to provide for filing the Articles of 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 Historical Society

<u>00161000.</u>	<u>REGISTRANT FILES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
-------------------------	--------------------------------	----------------------	--------------------	-----------------

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. §§ 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. § 19.35(1).

This record series contains content that is confidential per Wis. Stats. §§ 202.13(5), 202.14(10) and 202.22(9)(bm).

Wis. Stat. § 202.13 Fund-Raising Council
 Wis. Stat. § 202.14 Professional Fund-Raisers
 Wis. Stat. § 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.

RETENTION: EVENT (Closed) + 10 years and destroy confidential

<u>00162000.</u>	<u>REGISTRATION RENEWAL APPLICATIONS</u>	<u>EVT+3</u>	<u>DEST</u>	<u>Y</u>
-------------------------	---	---------------------	--------------------	-----------------

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. §§ 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. §§ 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. § 19.35(1).

This record series contains content that is confidential per Wis. Stats. §§ 202.13(5), 202.14(10) and 202.22(9)(bm).

Wis. Stat. § 202.13 Fund-Raising Council
 Wis. Stat. § 202.14 Professional Fund-Raisers
 Wis. Stat. § 202.22 Professional Employer Organizations/Groups

Retention: retain paper files for 30 days after scanning and quality control/verification has taken place the Destroy Confidential.
 Scanned files are kept 3 years after superseded and then Destroy Confidential.

RETENTION: EVENT (Superseded) + 3 years and destroy confidential

<u>00163000.</u>	<u>ANNUAL REPORT OF REGISTERED COMPANIES</u>	<u>EVT+10</u>	<u>SHSW</u>	<u>Y</u>
-------------------------	---	----------------------	--------------------	-----------------

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.

RDA #	RDA Title	Retention	Disposition	PII
-------	-----------	-----------	-------------	-----

The following licenses as regulated under the referenced statutes: Wis. Stats. §§ 202.12 Charitable Organizations; 203.13 Fund-Raising Council, and 202.14 Professional Fund-Raisers.

Except as provided in Wis. Stats. §§ 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. § 19.35(1).

This record series contains content that is confidential per Wis. Stats. §§ 202.13(5) and 202.14(10).
 Wis. Stat. § 202.13 Fund-Raising Council
 Wis. Stat. § 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).

RETENTION: EVENT (Superseded) + 10 years and transfer to State Historical Society

<u>00164000.</u>	<u>DENIED OR WITHDRAWN CREDENTIALING APPLICATIONS</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
-------------------------	--	----------------------	--------------------	-----------------

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. § 202.12 Charitable Organizations
 Wis. Stat. § 202.13 Fund-Raising Councils
 Wis. Stat. § 202.14 Professional Fund-Raisers
 Wis. Stat. § 202.22 Professional Employer Organizations and Groups.

Except as provided in Wis. Stats. §§ 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. § 19.35(1).

This record series contains content that is confidential per Wis. Stats. § 201.13(5), 202.14(10) and 202.22(9)(bm).
 Wis. Stat. § 202.13 Fund-Raising Council
 Wis. Stat. § 202.14 Professional Fund-Raisers
 Wis. Stat. § 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.

RETENTION: EVENT (Denied or withdrawn) + 10 years and destroy confidential

<u>00165000.</u>	<u>CREDENTIALING SURETY BONDS, DEPOSITS IN LIEU OF SURETY BONDS A</u>	<u>EVT+7</u>	<u>DEST</u>	<u>N</u>
-------------------------	--	---------------------	--------------------	-----------------

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. § 202.13 Fund-Raising Councils
 Wis. Stat. § 202.14 Professional Fund Raisers
 Wis. Stat. § 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.

RETENTION: EVENT (Closed) + 7 years and destroy confidential

<u>00166000.</u>	<u>LITIGATION FILES - NON-REGISTERED PARTIES</u>	<u>EVT+10</u>	<u>DEST</u>	<u>Y</u>
-------------------------	---	----------------------	--------------------	-----------------

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. §§ 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. § 19.35(1).

This record series contains content that is confidential per Wis. Stats. §§ 202.13(5), 202.14(10) and 202.22(9)(bm).
 Wis. Stat. § 202.13 Fund-Raising Council
 Wis. Stat. § 202.14 Professional Fund-Raisers
 Wis. Stat. § 202.22 Professional Employer Organizations/Groups

Dept #: /3100/ Department Name: CORPORATION FILING

RDA #	RDA Title	Retention	Disposition	PII
-------	-----------	-----------	-------------	-----

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.

RETENTION: EVENT (Appeal period has ended) + 10 years and destroy confidential

<u>00167000.</u>	<u>NON-REGISTERED PARTIES - CORRESPONDENCE FILES</u>	<u>EVT+3</u>	<u>SHSW</u>	<u>N</u>
------------------	--	--------------	-------------	----------

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).

RETENTION: EVENT (Closed) + 3 years and transfer to State Historical Society

<u>00168000.</u>	<u>CREDENTIALING COMPLAINTS AND INQUIRIES</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
------------------	---	--------------	-------------	----------

This record series includes complaints and inquiries received by the Division of Corporate and Consumer Services where action is authorized by Wis. Stat. § 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.

Except as provided in Wis. Stats. §§ 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. § 19.35(1).

This record series contains content that is confidential per Wis. Stats. §§ 201.13(5), 202.14(10) and 202.22(9)(bm).

Wis. Stat. § 202.13 Fund-Raising Council

Wis. Stat. § 202.14 Professional Fund-Raisers

Wis. Stat. § 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.

RETENTION: EVENT (File closed/decision final) + 7 years and destroy confidential

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

RDA #	RDA Title	Retention	Disposition	PII
-------	-----------	-----------	-------------	-----

<u>00048000.</u>	<u>UNIFORM COMMERCIAL CODE RECORDS</u>	<u>EVT+7</u>	<u>DEST</u>	<u>Y</u>
------------------	--	--------------	-------------	----------

Financing statements, tax liens, continuations, amendments, assignments, correction statements, and terminations are filed with the Department of Financial Institutions (DFI) according to Wis. Stat. Ch. 409. 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. Filings contain the following PII: Names, addresses, phone numbers, email addresses and occasionally an invoice number. When an original filing has reached the expiration date, it lapses and is no longer effective.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (After lapse) + 7 years and destroy confidential

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

RDA # RDA Title Retention Disposition PII

00145000. TRADEMARK RECORDS EVT+10 DEST Y

Trademark registrations are submitted to the Department of Financial Institutions (DFI) according to Wis. Stat. Ch. 132. Department of Financial Institutions is the only agency that files original trademark registrations. When the completed form is accepted for filing, and the statutory fee is collected, and a registration certificate is issued. Registrations are valid for ten (10) years and can be assigned to another assignee during this time, can be renewed 6 months prior, cancelled or terminated before expiration.

Registration information includes name, mailing address of the applicant; type of goods or services; description of mark and samples if required; date of first use.

The official record will be maintained electronically for the full retention period. To comply with Wis. Stat. §§ 16.61(7) and 137.20 for authenticity, accuracy, and accessibility the original input documents will be imaged or reformatted and subject to review, to ensure the images of these applications are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the input record will be destroyed confidentially.

RETENTION: EVENT (Expired / Cancelled Date) + 10 years and transfer to WHS.

00146000. FOUR YEAR NOTARY APPLICATIONS, OATHS 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.

RETENTION: EVENT (Date issuance of Notary) + 5 years and destroy confidential

00147000. PERMANENT NOTARY COMMISSION APPLICATION EVT+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 supreme 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.

RETENTION: EVENT (Date issuance of Notary) + 75 years and destroy confidential

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 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.

RETENTION: EVENT (Date received) + 1 year and destroy confidential

Dept #: /4100/ Department Name: CREDIT UNIONS

RDA # RDA Title Retention Disposition PII

00082000. HISTORY EXAMINATION FILES EVT+10 DEST Y

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.

Dept #: /4100/ Department Name: CREDIT UNIONS

RDA # RDA Title Retention Disposition PII

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.

RETENTION: EVENT (Date exam complete) + 10 years and destroy confidential

00083000. CALL REPORTS EVT+1 DEST N

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.

RETENTION: EVENT (Superseded) +1 year and destroy

00084000. ARTICLES OF INCORPORATION AND BYLAWS EVT+10 SHSW Y

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).

RETENTION: EVENT (Closed) + 10 years and transfer to State Historical Society

00085000. LIQUIDATED CREDIT UNION'S BOOKS & RECORDS EVT+10 DEST Y

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.

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.

RETENTION: EVENT (When file received from credit union) + 10 years and destroy confidential

00089000. COMPLAINT FILES EVT+5 DEST Y

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.

RETENTION: EVENT (When complaint file closed) + 5 years and destroy confidential

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

RDA # RDA Title Retention Disposition PII

00322000. GENERAL CORRESPONDENCE CR+6 DEST Y

RDA #	RDA Title	Retention	Disposition	PII
-------	-----------	-----------	-------------	-----

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>
------------------	--------------------------	--------------	-------------	----------

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>
------------------	-------------------------------	-------------	-------------	----------

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.

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 VENDORS.

RETENTION: CR + 6 YEARS AND DESTROY CONFIDENTIAL.

<u>00325000.</u>	<u>HISTORICAL RECORDS</u>	<u>CR+24</u>	<u>SHSW</u>	<u>N</u>
------------------	---------------------------	--------------	-------------	----------

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

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

RDA # RDA Title Retention Disposition PII

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).

Dept #: /6100/ Department Name: SECURITIES REGULATION

RDA # RDA Title Retention Disposition PII

00114000. BROKER DEALER AND AGENT APPLICATIONS EVT+10 DEST Y

Wis. Stat. § 551.606(1) provides that the administrator shall maintain, or designate a person to maintain, a register of applications for . . . broker-dealers , agents . . . that are or have been effective under this chapter or the predecessor act; notices of claims of exemption from registration or notice filing requirements contained in a record; orders issued under this chapter or the predecessor act and interpretive opinions or no action determinations issued under this chapter.

(2) The administrator shall make all rules, forms, interpretive opinions, and orders available to the public.

This record series contains filings by broker-dealers and agents as required by Wis. Stat. §§ 551.406(1)-(6), 551.411(1)-(3) and related rules, including, but not limited to, materials related to applications, broker-dealer activity of applicants branch office filings, withdrawal of applications and registrations, and various reporting requirements under Wis. Admin. Code ch. DFI-Sec 4.04. Because persons who violate the securities law are frequently found to repeat such violations in the future (often as unregistered persons), it is important in the public interest and for the protection of investors to maintain these records after the registration is terminated.

Termination = inactive registration status

RETENTION: EVENT (Termination) + 10 years and destroy confidential

00115000. BROKER DEALER AND INVESTMENT ADVISORS FIELD EXAMS EVT+10 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 advisers as required by Wis. Stat. § 551.411(4). These reports are nonpublic pursuant to Wis. Stat. § 551.607(2)(a) including the examiner's findings and deficiencies, correspondence concerning the exam, evidence gathered relating to the exam, and invoices for exam expenses and fees.

The exam information is retained in electronic format and not destroyed as long as the firm is registered with the division to preserve past exam history relevant to current exams. They are also retained to preserve the basis for any disciplinary history or lack thereof. Because persons who violate the securities law are frequently found to repeat such violations in the future (often as unregistered persons), it is important in the public interest and for the protection of investors to maintain these records after the registration is terminated.

Termination = inactive registration status.

RETENTION: EVENT (Termination) + 10 years and destroy confidential

00116000. INVESTMENT ADVISER AND REPRESENTATIVE APPLICATIONS EVT+10 DEST Y

Wis. Stat. § 551.606(1) provides that the administrator shall maintain, or designate a person to maintain, a register of applications . . . for broker-dealers, agents, investment advisers, and investment adviser representatives; notice filings by federal covered investment advisers that are or have been effective under this chapter or the predecessor act; notices of claims of exemption from registration or notice filing requirements contained in a record; orders issued under this chapter or the predecessor act; and interpretive opinions or no action determinations issued under this chapter. (2) The administrator shall make all rules, forms, interpretive opinions, and orders available to the public.

This record series contains application filings by investment advisers and representatives as required by Wis. Stat. §§ 551.406(1)-(6), 551.411(1)-(3), and related rules, which include, but are not limited to, applications, financial certifications, investment advisory activity of the applicant, designations of the supervisor, branch office filings, withdrawals of applications and registrations , and various reporting requirements under Wis. Admin. Code ch. DFI-Sec 5.04. Because persons who violate the securities law are frequently found to repeat such violations in the future (often as unregistered persons), it is important in the public interest and for the protection of investors to maintain these records after the registration is terminated.

Termination = inactive registration status

RETENTION: EVENT (Termination) +10 years and destroy confidential

00117000. FRANCHISE REGISTRATION APPLICATIONS EVT+3 DEST N

Wisconsin Stat. § 553.75(2) provides the division shall keep a register of all filings which are, or have ever been, effective under the

RDA #	RDA Title	Retention	Disposition	PII
-------	-----------	-----------	-------------	-----

chapter and predecessor laws and all denial, suspension or revocation orders which have been entered under Wis. Stat. § 553. The registration shall be open for public inspection.

Pursuant to Wis. Stat. § 553.26, all franchise offerings must be registered with the Department of Financial Institutions (DFI), Division of Securities, at the time of a franchise sale to a person 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 electronically 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 replace 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.

RETENTION: EVENT (Annual Expiration Date) + 3 years and destroy

<u>00117E00.</u>	<u>FRANCHISE ORDER OF EXEMPTION FILINGS</u>	<u>EVT+25</u>	<u>DEST</u>	<u>N</u>
------------------	---	---------------	-------------	----------

Wisconsin Stat. § 553.75(2) provides that the division shall keep a register of all filings which are, or have ever been, effective under this chapter and predecessor laws and all denial, suspension or revocation orders which have been entered under this chapter. The registration shall be open for public inspection.

All Franchises offered and sold in Wisconsin must be 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 Wis. Stat. § 553.25 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. The Order of Exemption states its expiration date.

RETENTION: EVENT (Expiration Date) + 25 years and destroy

<u>00118000.</u>	<u>SECURITIES EXEMPTION NOTICES & EXEMPTION ORDER REQUESTS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
------------------	--	--------------	-------------	----------

Wis. Stat. § 551.606(1) provides that the administrator shall maintain, or designate a person to maintain, a register of applications for registration of securities; registration statements; notice filings . . . that are or have been effective under this chapter or the predecessor act; notices of claims of exemption from registration or notice filing requirements contained in a record; orders issued under this chapter or the predecessor act; and interpretive opinions or no action determinations issued under this chapter.
 (2) The administrator shall make all rules, forms interpretive opinions, and orders available to the public.

This record series includes Securities Exemption Notices and Exemption Order Requests. All securities offered and sold in Wisconsin must be registered or exempt from registration. Often reliance on an exemption in Wis. Stats. §§ 551.201 or 551.202 requires filing of a notice and other information to establish availability of the exemption. Wisconsin Stat. §551.203 requires a request for a discretionary order of exemption be accompanied by sufficient documentation to enable the Division to determine registration is not necessary or appropriate in the public interest or for the protection of investors. Certain exemptions do not expire. Because persons who violate the securities law are frequently found to repeat such violations in the future (often as unregistered persons), it is important in the public interest and for the protection of investors to maintain these records after the exemption is withdrawn or expired.

RETENTION: EVENT (Withdrawn or Expired) + 6 years and destroy

<u>00119000.</u>	<u>SECURITIES REGISTRATION APPLICATIONS</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
------------------	---	--------------	-------------	----------

Wis. Stat. § 551.606(1) provides that the administrator shall maintain, or designate a person to maintain, a register of applications for registration of securities; registration statements; notice filings . . . that are or have been effective under this chapter or the predecessor act. (2) The administrator shall make all rules, forms, interpretive opinions, and orders available to the public.

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 staff pursuant to Wis. Stat. § 551.303 or § 551.304.

RETENTION: EVENT (Withdrawn or Expired) + 6 years and destroy

<u>00122000.</u>	<u>ACTIONS SERVED ON DFI UNDER WIS. STATS. § 551.611</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
------------------	--	---------------	-------------	----------

This record series contains copies of civil action pleadings served on the administrator by private parties pursuant to Wis. Stat. § 551.611(2) and (4). This record series is maintained chronologically by nature of the litigant.

RETENTION: EVENT (Date of service) + 10 years and destroy

<u>00122A00.</u>	<u>FILINGS UNDER FEDERAL CAFA OF 2005</u>	<u>EVT+6</u>	<u>DEST</u>	<u>N</u>
------------------	---	--------------	-------------	----------

This records series contains copies of court pleadings required to be filed by parties in securities class actions on the state securities regulator pursuant to the federal Class Action Fairness Act of 2005. This record series is maintained chronologically and then by party names.

RDA #	RDA Title	Retention	Disposition	PII
-------	-----------	-----------	-------------	-----

RETENTION: EVENT (End of underlying litigation) + 6 years and destroy

<u>00123000.</u>	<u>ADMINISTRATIVE ORDERS</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
------------------	------------------------------	----------	-------------	----------

Wis. Stat. § 551.606(1) provides that the administrator shall maintain, or designate a person to maintain . . . orders issued under this chapter or the predecessor act; and interpretive opinions or no action determinations issued under this chapter. (2) The administrator shall make all rules, forms interpretive opinions, and orders available to the public.

This record series consists of administrative orders issued by the Division, including enforcement orders. Enforcement Orders are issued after investigation and opportunity for hearing, and posted on our website to serve an important investor protection purpose of alerting the public of a person's disciplinary history or prior misconduct. They also prohibit the subject from offering securities in Wisconsin indefinitely, and may limit a respondent's use of federal exemptions as well in cases of fraud. A violation of an order in this series is a felony offense under Wis. Stat. § 551.508. Because persons who violate the securities law are frequently found to repeat such violations in the future (often as unregistered persons), it is important in the public interest and for the protection of investors to maintain these records after the enforcement case is closed.

RETENTION: Permanent

<u>00124000.</u>	<u>ENFORCEMENT FILES</u>	<u>EVT+25</u>	<u>DEST</u>	<u>Y</u>
------------------	--------------------------	---------------	-------------	----------

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 § DFI - Sec. 7.05(1) and Wis. Stats. §§ 19.36(1) and 905.09.

RETENTION: EVENT (Case closed) + 25 years and destroy confidential

<u>00125000.</u>	<u>DIVISION STATUTE REVISION</u>	<u>EVT+25</u>	<u>SHSW</u>	<u>N</u>
------------------	----------------------------------	---------------	-------------	----------

Records relevant to specific statute revision legislative proposals sponsored by the Division. May include, but not limited to, background materials, legislative bill drafts, statute interpretations, summary of public comments from hearings, Legislative and agency comments, correspondence, fiscal estimate, orders, and reports.

RETENTION: EVENT (effective date or legislative objection date of proposal) +25 years and transfer to State Historical Society

<u>00126000.</u>	<u>CORPORATE TAKEOVER OWNERSHIP INFORMATION FILINGS</u>	<u>EVT+25</u>	<u>DEST</u>	<u>N</u>
------------------	---	---------------	-------------	----------

Corporate takeover ownership information filings made under Wis. Stat. § 552.03, by persons acquiring more than 5% of the equity securities of "Target Company" as defined under the Corporate Takeover Law, Wis. Stat. ch. 552. Wisconsin Stat. ch. 552 is seldom used, but the same reasons for the RDA apply now as did when adopted, and the RDA should remain unchanged.

RETENTION: EVENT (Filing Date) +25 years and destroy

<u>00127000.</u>	<u>CORPORATE TAKEOVER - REGISTRATION FILING</u>	<u>EVT+10</u>	<u>DEST</u>	<u>N</u>
------------------	---	---------------	-------------	----------

Corporate takeover registration filing is required under Wis. Stat. § 552.05 by parties making a "takeover offer", as defined, for a specific "target company" covered by Wis. Stat. ch. 552, the Corporate Takeover Law. Hearing information may be included if a hearing is held with respect to a particular takeover offer. Wisconsin Stat. ch. 552 is seldom used, but the same reasons that applied to the initial RDA continue to apply.

RETENTION: EVENT (Filing Date) + 10 years and destroy

<u>00129000.</u>	<u>SECURITIES AND FRANCHISE INTERPRETIVE OPINIONS</u>	<u>P</u>	<u>PERM</u>	<u>N</u>
------------------	---	----------	-------------	----------

Wisconsin Statutes § 551.606(1) provides that the administrator shall maintain, or designate a person to maintain, a register of . . . orders issued under this chapter or the predecessor act; and interpretive opinions or no action determinations issued under this chapter. (2) The administrator shall make all rules, forms interpretive opinions, and orders available to the public.

Wisconsin Stat. § 553.75(2) provides the division shall keep a register of all filings which are or have ever been effective under this chapter and predecessor laws and all denial, suspension or revocation orders which have been entered under this chapter. The registration shall be open for public inspection.

Under the authority granted in Wis. Stats. §§ 551.605(4) and 553.78(5), the Division can issue written opinions under the Securities and Franchise laws interpreting applicability of those laws to specific fact situations and confirming whether specific exemptions from the registration requirement under those laws are available for use. As a legal opinion of the division, they are authoritative and should be maintained and permanently available to the Division and the public.

Dept #: 6100/ Department Name: SECURITIES REGULATION

RDA # RDA Title Retention Disposition PII

RETENTION: Permanent

00130000. FEDERAL COVERED SECURITY NOTICE FILINGS EVT+6 DEST N

Wis. Stat. § 551.606(1) provides that the administrator shall maintain, or designate a person to maintain, a register of applications for registration of securities; registration statements; notice filings . . . that are or have been effective under this chapter or the predecessor act; notices of claims of exemption from registration or notice filing requirements contained in a record ; orders issued under this chapter or the predecessor act; and interpretive opinions or no action determinations issued under this chapter. (2) The administrator shall make all rules, forms interpretive opinions, and orders available to the public.

This record series includes Federal Covered Security records filed pursuant to Wis. Stats. §§ 551.302, and includes but is not limited to, mutual fund initial filings (open-end or closed-end), unit investment trusts, Regulation D Rule 506 exemption filings, Regulation A Tier 2 exemption filings, amendments, name changes, extensions, and mutual fund sales report. Because persons who violate the securities law are frequently found to repeat such violations in the future (often as unregistered persons), it is important in the public interest and for the protection of investors to maintain these records after the notice filing is withdrawn or expired.

RETENTION: EVENT (Withdrawn or Expired) + 6 years and destroy

00151000. PHOENIX PROFESSIONAL AND PRODUCT REGISTRATION RECORDS EVT+10 DEST N

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 contain 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 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

00024000. SPEECH MATERIALS EVT+5 SHSW N

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 tougher 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 regulating auto brokers, credit repair businesses, dealer's warranty contracts and interest rates on loans. Presentation materials can be paper as well as electronic i.e. power point, AV aides etc.

Retain for 5 years and transfer to SHS after speech has been presented.

RETENTION: EVENT (After date of speech) + 5 years and transfer to State Historical Society

00152000. COMPLAINTS AND ORDERS - NOTARY COMMISSION EVT+10 DEST N

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 #: 7100/ Department Name: SECRETARY'S OFFICE

RDA #	RDA Title	Retention	Disposition	PII
-------	-----------	-----------	-------------	-----

Dept #: 8100/ Department Name: FINANCIAL LITERACY

RDA #	RDA Title	Retention	Disposition	PII
-------	-----------	-----------	-------------	-----

<u>00148000.</u>	<u>FINANCIAL LITERACY / COLLEGE AFFORDABILITY</u>	<u>CR+5</u>	<u>SHSW</u>	<u>N</u>
------------------	---	-------------	-------------	----------

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.

RETENTION: EVENT (Creation) + 5 years and transfer to State Historical Society