145-COMMISSIONER OF INSURANCE

Dept #	/100/	Department Name	COMMISSIONER

RDA #	RDA Title	Retention	Disposition	PII
00022000.	ADMINISTRATIVE ACTIONS AGAINST INSURERS OR AGENTS	EVT+25	SHSW	Y

These files contain complaint correspondence, memoranda on investigations and statements of facts. Also contain transcripts of hearings held under the insurance laws, court and hearing records, evidence, related materials; findings of fact, conclusions of law and orders of the Commissioner.

Confidential under Wis. Stat. § 146.82, the files are confidential pending resolution of appeals. Once they have been designated as closed by the Office of the Commissioner of Insurance, they are no longer confidential unless they contain medical information for Injured Patients and Families Compensation Fund (IPFCF) and Patients Compensation Fund (PCF).

RETENTION: EVENT (Closed) + 25 years and transfer to State Historical Society

RDA #	RDA Title	Retention	Disposition	PII
00075000.	LEGISLATIVE DOCUMENTS	EVT+8	SHSW	N

Correspondence, memoranda, worksheets, and fiscal notes on proposed legislation which the Commissioner is involved in. May include, but not limited to, draft bill, resolution, testimony, correspondence, or chapter dealt with.

RETENTION: EVENT (End of legislative session) + 8 years and transfer to State Historical Society

RDA #	RDA Title	Retention	Disposition	PII
00076000.	NATIONAL ASSOCIATION OF INSURANCE COMMISSIONERS (NAIC) RECORD	EVT+3	DEST	N

Reports, correspondence, special research studies and other information related to participation in task forces, subcommittees, or committees of the NAIC regarding model regulation of insurance.

RETENTION: EVENT (End of commissioners term) + 3 years and destroy

RDA #	RDA Title	Retention	Disposition	PII
00077000.	WISCONSIN INSURANCE REPORT	P	PERM	N

Prior to September 1 of each year, the commissioner shall submit a report to the governor and to the chief clerk of each house of the legislature, for distribution to the legislature under Wis. Stat. § 13.172 (2).

The Wisconsin Insurance Report shall include, but is not limited to, the subsections (a-j) listed under Wis. Stat. § 601.46 (3).

The report describes the work of the Office of the Commissioner of Insurance (OCI) over the course of the last year and details the Wisconsin insurance market.

RETENTION: Permanent

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

RDA #	RDA Title	Retention	Disposition	PII
00106000.	LOSS RECORDS	FIS+6	DEST	Y

The Local Government Property Insurance Fund provides property insurance under Wis. Stat. ch. 605. Records include, but are not limited to, loss or claim records against policies processed, their denial or withdrawal, original reports, estimates, adjustments, proof of loss form, disbursement order, and other related correspondence.

RETENTION: EVENT (end of Fiscal year) + 6 years and destroy confidential

Dept #	/210/	Department Name	STATE LIFE INSURANCE FUND

RDA #	RDA Title	Retention	Disposition	PII
00034000.	INDIVIDUAL POLICY DOCUMENTS	EVT+25	DEST	Y

Life Insurance Policy documents for active and terminated policies include: 1) Applications, 2) IRS W-9 form, 3) Underwriting worksheet, 4) Medical information, retail credit reports, disability claims, 5) Proof of death, request for termination, and/or lapse

RDA #	*RDA Title*	*Retention*	*Disposition*	*PII*

information, 6) Worksheet for final proceeds, 7) Policy contract, 8) Correspondence, 9) Beneficiary, owner, name, or plan change forms, 10) Accounting documentation, 11) Policy loan notes, 12) Reinsurance papers, 13) Address changes, 14) 1099-R tax information worksheets.

Wis. Stat. § 146.82 (Confidentiality)

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. After verification of the quality and retention of the electronic images, the paper documents will be kept on site for 3 months and then destroyed confidentially.

RETENTION: EVENT (Termination of the policy) + 25 years and destroy confidential

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

Records include, but are not limited to, bond system inventory prepared by month, adjustments and reconciliations, transactions completed by State of Wisconsin
Investment Board, and custodian statements.

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. After verification of the quality and retention of the electronic images, the paper documents will be kept on site for 3 months and then destroyed confidentially.

RETENTION: EVENT (Fiscal) + 6 years and destroy confidential

00096000.	**STATUTORY FINANCIAL STATEMENT & ANNUAL COMPREHENSIVE FINANCI**	**FIS+7**	**DEST**	**N**

Records include, but are not limited to, annual worksheets, spreadsheets, actuarial work papers, reports, and letters used in the preparation of the National Association of Insurance
Commissioners annual statutory financial statement and the fiscal State of Wisconsin Annual Comprehensive Financial Report.

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. After verification of the quality and retention of the electronic images, the paper documents will be kept on site for 3 months and then destroyed confidentially.

RETENTION: EVENT (Fiscal) + 7 years and destroy

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

RDA #	*RDA Title*	*Retention*	*Disposition*	*PII*

00003000.	**PROVIDER MASTER FILE**	**EVT+25**	**DEST**	**Y**

Injured Patients and families Compensation fund is an excess medical malpractice insurance fund. Participation is mandatory for those providers outlined in Wis. Stat. ch. 655.

Injured Patients and Families Compensation Fund file containing summary information from each individual health care provider participating in the Fund, both historical and cmTent, including: name, address, type of provider, license number, insurance company and policy number, liability limits, type of coverage, and Insurance Service Office (ISO) specialty codes. Also amounts assessed and amounts paid for participation in the Fund, termination of insurance and reasons; and exemption from participation in the Fund; and suspension/revocation.

Certificates of insurance or equivalent form submitted annually as proof of financial responsibility by insurance companies filed in accordance with Wis. Stat.§ 655.23 (2).

Affidavits of exemption form, or its equivalent, filed by health care providers stating that they are exempt from the provisions, benefits and limitations of Wis. Stat. ch. 655, including letters and coJTespondence from providers. Forms attest to exemption by reason of residence, retirement, amount of practice, or government employment and are filed in accordance with Wis. Stat.§ 655.001(8) and (11).

Injured Patients and Families Compensation Fund Notice of Termination form, or its equivalent, from insurer giving written notice of termination ofa health care provider's primary health care liability policy to the Commissioner of insurance, per the requirements of Wis. Stat. § 655.24 (2) (b).

RETENTION: EVENT (Termination of Medical License) + 25 years and destroy confidential

00008000.	FINANCIAL REPORTS	FIS+10	DEST	Y

Injured Patients and Families Compensation Fund financial status reports and audits, including computer output rep01is detailing assessed amounts and income received for Injured Patients and Families Compensation Fund operations: Assessment fees, payment report,
Insurance Service Office (ISO) code report, report of eligible refunds, or equivalent financial status reports.

Paid Assessment Notices or equivalent forms returned with payment by health care providers for coverage under the Injured Patients and Families Compensation Fund, Wis. Stat.§ 655.27(3), and Wis. Admin. Code Ins.§ 17.0l.

RETENTION: EVENT (end of fiscal year) + 10 years and destroy confidential

00150000.	ENTITY MASTER FILE - INJURED PATIENTS AND FAMILIES COMPENSATION	EVT+25	DEST	N

Injured Patients and Families Compensation Fund is an excess medical malpractice insurance fund. Participation is mandatory for those entities outlined in Wis. Stat. ch. 655. Section 655.27 of the Wisconsin Statutes states the council may obtain any information relating to any claim it reviews under this section that is in the possession of the commissioner or the board of governors. The council shall keep patient health care records confidential as required by Wis. Stat. § 146.82.

htjured Patients and Families Compensation Fund file containing summary information from each entity participating in the Fund, both historical and current, including: name, address, type of provider, license number, insurance company and policy number, liability limits, type of coverage, and Insurance Service Office (ISO) specialty codes. Also included are amounts assessed and amounts paid for participation in the Fund, termination of insurance and reasons; exemption from participation in the Fund; and suspension/revocation.

Certificates oflnsurance or equivalent form submitted annually as proof of financial responsibility by insurance companies filed in accordance with Wis. Stat.§ 655.23(2).
Affidavits of exemption form, or its equivalent, filed by entities stating that they are exempt from the provisions, benefits and limitations of Wis. Stat. ch. 655, including letters and correspondence.

Injured Patients and Families Compensation Fund Notice of Termination form, or its equivalent, from insurer giving written notice of termination ofa health care provider's primary health care liability policy to the Commissioner oflnsurance, per the requirements of Wis. Stat. § 655.24(2)(b).

RETENTION: EVENT (Dissolution of entity) + 25 years and destroy confidential

00151000.	LOSS RECORDS	EVT+25	DEST	Y

The Injured Patients and Families Compensation Fund provides excess medical malpractice insurance under Wis. Stat. ch. 655.Section 655.27 of the Wisconsin Statutes states the council may obtain any infonnation relating to any claim it reviews under this section that is in the possession of the commissioner or the board of governors. The council shall keep patient health care records confidential as required by Wis. Stat.§ 146.82.

This includes loss records of claims against a Fund pmiicipant processed, denied, or withdrawn. Includes all court documents, Future Medical Expense payment documentation, Loss Adjusting Expense documentation, and any other related correspondence.

RETENTION: EVENT (Final payment or closure of claim) + 25 years and destroy confidential

Dept #	/300/	Department Name	FINANCIAL ANALYSIS AND EXAMINATIONS		
RDA #	RDA Title		Retention	Disposition	PII

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

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

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

RETENTION: EVENT (Discontinuation of business) + 10 years and transfer to State Historical Society

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

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

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

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

RETENTION: EVENT (Completion of termination transaction) + 10 years and destroy confidential

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

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

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

RETENTION: Permanent

00012000.	**ARTICLES AND BYLAWS-NON-DOMESTIC INSURERS**	**EVT+5**	**DEST**	**N**

Articles of Incorporation, Bylaws, and amendments to each, of non-domestic insurers licensed to do business in Wisconsin filed in accordance with Wis. Stat. §§ 618.11 and 618.14.

RETENTION: EVENT (Superseded) + 5 years and destroy

00013000.	**EXAMINATION REPORTS-DOMESTIC AND TOWN MUTUAL INSURERS**	**P**	**PERM**	**N**

Reports of business, affairs and general conditions of Wisconsin domiciled insurers, as disclosed by books and accounts, prepared periodically by departmental examiners as authorized by Wis. Stat. §
601.44. Includes all types of exams: Association, Target, Compliance, Comprehensive and Market Conduct.

Box 9 - Permanent Retention - Wis. Stat. § 601.46 (2) .

RETENTION: Permanent

00015000.	**FINANCIAL EXAMINATION WORKPAPERS AND MONITORING FILES FOR DOI**	**EVT+10**	**DEST**	**N**

Workpapers used or created by staff in examining and monitoring domestic insurers, including but not limited to final drafts, letter of transmittal, table of contents, corporate records, rating and statistical reports, accounts and records, financial statements of assets, liabilities, underwriting, investment, expenses and reconciliations, comments on financial statements of income, expenses, assets, liabilities, surplus and other funds, acknowledgement, correspondence and related material.

Retention: Finalized examination and monitoring workpapers (electronic and paper) retained until the later of the completion of next finalized examination or full accreditation review by the National Association of Insurance Commissioners (NAIC) is complete.

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

RETENTION: EVENT (Superseded or accreditation completed) + 10 years and destroy confidential

00016000.	**HOLDING COMPANY FILINGS-DOMESTIC INSURERS**	**CR+10**	**DEST**	**N**

Registration: Insurance Holding Company System Registration Statement, filed in accordance with Wis. Admin. Code ch. Adm 40, and amendments to statements. Statements are required of all Wisconsin insurers with affiliates, under Wis. Stat. § 617.11.

Material Transactions: transactions, relationships, and agreements between domestic insurer and any affiliates, including sales and purchases, exchanges, loans, extensions of credit, or investments; service contracts or cost sharing arrangements; transactions significantly affecting the insurer with or between affiliates and not in the ordinary course of business; and advance report and disapproval filed in accordance with Wis. Admin. Code ch. Adm 40, and Wis. Stat. §§ 600.03 (19), 613.11, and 617.21.

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

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

RDA #	RDA Title	Retention	Disposition	PII
00017000.	**TOWN MUTUAL REINSURANCE CONTRACTS**	**EVT+5**	**DEST**	**N**

Reinsurance contracts approved by and filed with the Commissioner in compliance with Wis. Stat. §
612.33. A Town Mutual may cede reinsurance only under Wis. Stat. § 612.31 (6), or to an insurer authorized to do business in this state under Wis. Stat. § 612.71, or Wis. Stat. ch. 611 or 618, or under arrangements which are subject to the controls the Commissioner prescribes. Town Mutuals are required to reinsure windstorm and hail insurance and non-property insurance pursuant to Wis. Stat. §
612.33 (2).

RETENTION: EVENT (Superseded) + 5 years and destroy

RDA #	RDA Title	Retention	Disposition	PII
00018000.	**SECURITY DEPOSITS**	**EVT+1**	**DEST**	**N**

Records of securities deposited or held under control with the State Treasurer by insurers or other licensees of the Office of the Commissioner of Insurance in compliance with Wis. Stat. § 601.13 (5).

RETENTION: EVENT (After deposit has expired) + 1 year and destroy

RDA #	RDA Title	Retention	Disposition	PII
00019000.	**ACTIVE COMPANY FILES**	**P**	**PERM**	**N**

These files include records for active entities licensed under Wis. Stat. ch. 185, 611, 612, 613, 614, 615, 616, 618, and 648, as well as other applicable entities. Files are maintained in Central Files area of OCI and may include reinsurance contracts of domestic companies filed in accordance with Wis. Stat. § 611.78(2), reinsurance contracts of non-domestic companies filed in accordance with Wis. Stat. § 618.32, significant correspondence relating to position of the Office of the Commissioner of Insurance, and statements of the Commissioner's policy or decisions. Active company files are retained permanently until the company becomes inactive. Inactivation may be due to merger, withdrawal, dissolution, liquidation, etc. Once inactive, the files are covered under RDA # 9 or 10.

Box 9 - Retain: Permanently - Wis. Stat. § 601.46(1) and 601.46 (2).
Box 16 - Confidential or Limited Access - Wis. Stat. § 601.465

RETENTION: Permanent

RDA #	RDA Title	Retention	Disposition	PII
00020000.	**BIOGRAPHICAL DATA-OFFICERS AND DIRECTORS OF DOMESTIC COMPANI**	**EVT+1**	**DEST**	**Y**

Statement of education, prior occupation, business experience and supplementary information and biographical sketches filed for each officer and director of licensed Wisconsin insurers when the officer or director is elected or appointed as required by s. Ins. 6.52 or under Ins. 57, Wis. Adm. Code. A record is closed when the individual's term as an officer or director expires either due to being superseded or death.

Box 16 - Wis. Stat. § 601.465 (1m)(d)

RETENTION: EVENT (Superseded or death) +1 year and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
00024000.	**SCHEDULE OF ANNUAL TAXES AND FEES**	**EVT+10**	**DEST**	**N**

Annual year-end tax return filings, or equivalent, by domestic and non-domestic insurers showing the amount of premiums written and/or income with the applicable tax thereon required by Wis. Stat. §§ 601.31, 601.32, 601.55, 601.93 (2), and 76.60-76.69, provided tax return is not in dispute. Also included are statutory fees for annual statement filing and continuation of license.

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

RDA #	RDA Title	Retention	Disposition	PII
00025000.	**TOWN MUTUAL INSURER ANNUAL STATEMENTS**	**EVT+10**	**SHSW**	**N**

Annual Statements of Wisconsin Town Mutual Insurance companies (PCO form 22-070 and 22-0708, or equivalent) used for annual filings by such companies as required by Wis. Stat. § 601.42, and Wis
Admin. Code ch. Adm 7. The statements include names of officers, statement of financial condition and operations, claims and losses, assets and liabilities, number of policies issued and in force, aggregate amount insured, and expenses.

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

RDA #	RDA Title	Retention	Disposition	PII
00026000.	**PRELIMINARY PROSPECTUS AND REGISTRATION STATEMENTS (NONDOME**	**EVT+1**	**DEST**	**N**

A report of the business and affairs and financial condition of a corporation which is an insurer, or owns, or controls, an insurer licensed in Wisconsin for purpose of providing information to prospective buyers of an offering of securities (bonds, stocks, etc.). Wis. Stat. § 551.27 (13), provides that securities issued or guaranteed by insurance, suretyship or other companies supervised by the Commissioner of Insurance, or by a person whose business consists principally of owning or controlling the securities of any such company, shall not be registered without prior approval of the Commissioner of Insurance.

RETENTION: EVENT (Approval/disapproval by OCI) + 1 year and destroy

RDA #	RDA Title	Retention	Disposition	PII

00027000. **DECLARATION OF WISCONSIN PREMIUM TAX AND FIRE DUES-QUARTERLY** **EVT+6** **DEST** **N**

Quarterly declaration of estimated premium tax and fire department dues, (OCI form 27-013 or equivalent) in accordance with Wis. Stat. §§ 76.64 and 601.93. Also included are daily cash sheets and year end computer runs that break down quarterly payments from individual insurer.

RETENTION: EVENT (End of filing calendar year) + 6 years and destroy

00028000. **CERTIFICATE OF AUTHORITY/PERMITS/REGISTRATION** **EVT+5** **DEST** **N**

Certificate of Authority/Permit/Registration of companies authorized to do business in Wisconsin. It provides name of entity, state of domicile, lines of authority, date issued and any limitations on business.

RETENTION: EVENT (Superseded) + 5 years and destroy

00029000. **ANNUAL FINANCIAL FILINGS BY INSURERS - NONDOMESTIC** **EVT+5** **DEST** **N**

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

RETENTION: EVENT (End of filing calendar year) + 5 years and destroy

00030000. **ANNUAL FINANCIAL FILINGS BY INSURERS - DOMESTIC** **EVT+8** **SHSW** **N**

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

RETENTION: EVENT (End of filing calendar year) + 8 years and transfer to State Historical Society

00033000. **MARKET SHARES REPORTS** **EVT+3** **DEST** **N**

Market Shares reports are based on data filed in the insurer annual statement and are generated annually. The reports consist of insurer name, percent of market, and premiums written by major lines of business. This report contains both domestic and non-domestic insurers.

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

RETENTION: EVENT (Date of report) + 3 years and transfer to State Historical Society

00120000. **LIFE RESERVE VALUATIONS** **EVT+1** **DEST** **N**

Supporting documentation submitted annually by domestic life insurance companies for life reserve valuation certifications as required by Wis. Stat. § 623.06.

RETENTION: EVENT (Date of report) + 1 year and destroy

00148000.	**TAX FILINGS FOR SURPLUS LINES, RISK RETENTION GROUPS (RRGS) & DIF**	**EVT+10**	**DEST**	**Y**

These records are received by the Office of the Commissioner of Insurance on an annual basis and should be covered by a specific record retention policy similar to other tax records received.

Annual year-end premium tax filings or equivalent, by surplus lines agents, Risk Retention Groups
(RRGs), and directly placed policyholders, showing the amount of premium/fees charged and the applicable tax required by Wis. Stat. § 618.43.

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

00149000.	**MONITORING FILES FOR NON-DOMESTIC INSURERS**	**EVT+10**	**DEST**	**N**

These records are workpapers used, or created, by staff for monitoring non-domestic insurers. They include, but are not limited to, letters of transmittal, table of contents, corporate records, rating and statistical reports, accounts and records, financial statements of assets, liabilities, underwriting,
investment, expenses and reconciliations, comments on financial statements of income, expenses, assets, liabilities, surplus and other funds, acknowledgement, correspondence, and related material.

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

RETENTION: EVENT (End of calendar year) + 10 years and destroy confidential

00154000.	**LIQUIDATED COMPANY - LIQUIDATOR FINANCIAL RECORDS**	**EVT+3**	**DEST**	**N**

Records are for insurance companies where OCI has filed a Petition for Liquidation based on the grounds for liquidation outlined in Wis. Stat. § 645.41 and there has been a court order issued pursuant to Wis. Stat. § 645.42 that appoints the commissioner and their successors in office as the liquidator which shall take possession of the assets of the insurer and administer them under the orders of the court.

Financial records accumulated during the liquidation, include, but are not limited to, books, general ledger journals, lists of insurer's assets, assessment records, paid invoice files, payroll records, cancelled checks, tax records, and other financial records of the liquidator.

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. After verification of the quality and retention of the electronic images, the paper documents will be kept on site for 3 months and then destroyed confidentially.

RETENTION: EVENT (CLOSE OF LIQUIDATION) + 3 YEARS AND DESTROY CONFIDENTIAL

00155000.	**LIQUIDATED INSURER RECORDS - CORPORATE AND FINANCIAL**	**EVT+1**	**DEST**	**Y**

Records are for insurance companies where OCI has filed a Petition for Liquidation based on the grounds for liquidation outlined in Wis. Stat. § 645.41 and there has been a court order issued pursuant to Wis. Stat. § 645.42 that appoints the commissioner and their successors in office as the liquidator which shall take possession of the assets of the insurer and administer them under the orders of the court.

Records of the liquidated insurance company include investment records such as bank reports, bond and stock reports, brokerage reports, and listings of securities. Stockholder records include stock certificate listings, cancelled stocks, surrendered stocks, etc.

Other records may include, but are not limited to, general accounting records, financial statement work papers, financial records, payroll information, invoices, general correspondence, corporate records, various communications, corporate and statistical records, accounts receivable records, collection records, reinsurance treaties or contracts ceded or assumed that do not involve a claim.

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. After verification of the quality and retention of the electronic images, the paper documents will be kept on site for 3 months and then destroyed confidentially.

RETENTION: EVENT (The effective date of liquidation or until the close of liquidation, whichever comes first) + 1 YEAR AND DESTROY CONFIDENTIAL.

00156000.	**LIQUIDATED INSURER RECORDS - POLICY AND CLAIM DOCUMENTS**	**EVT+1**	**DEST**	**Y**

Records are for insurance companies where OCI has filed a Petition for Liquidation based on the grounds for liquidation outlined in Wis. Stat. § 645.41 and there has been a court order issued pursuant to Wis. Stat. § 645.42 that appoints the commissioner and their successors in office as the liquidator which shall take possession of the assets of the insurer and administer them under the orders of the court.

Records of the liquidated insurance company: Policy records prior to liquidation include insurance policy forms and indices to the files. Records covered include those policies for which no claim was presented against the estate and files for which a claim was presented during the liquidation.

Additional records may include, but are not limited to, insurance claim files against the company prior to liquidation as well as during the liquidation, proof of claim files, special claims, third party claims, disputed claims, claims of surety, secured creditors' claims, qualified financial contracts, and claims filed with ancillary receivers or security or guaranty funds. Includes reinsurance claims, reinsurance treaties or contracts needed for such claims. Files may include correspondence regarding the claim, claim determination, dividend check copies, etc.

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. After verification of the quality and retention of the electronic images, the paper documents will be kept on site for 3 months and then destroyed confidentially.

RETENTION: EVENT (Court established late claim filing deadline or until the close of the liquidation, whichever comes first) + 1 YEAR AND DESTROY CONFIDENTIAL

00157000.	**LIQUIDATOR NON-FINANCIAL RECORDS**	**EVT+1**	**DEST**	**N**

Records are for insurance companies where OCI has filed a Petition for Liquidation based on the grounds for liquidation outlined in Wis. Stat. § 645.41 and there has been a court order issued pursuant to Wis. Stat. § 645.42 that appoints the commissioner and their successors in office as the liquidator which shall take possession of the assets of the insurer and administer them under the orders of the court.

These are records of the liquidator that are not financial in nature, including reports of the liquidator i.e. audit reports, court reports, etc. Additional records may include, but are not limited to, correspondence and Memorandums between Special Deputy Liquidator and the Office of the Commissioner of Insurance, policyholders, creditors, legal, and guaranty or security funds, etc., final claim disposition statistical reports i.e. litigation and depositions/statements/interrogatories, legal actions issued filed by the liquidator and against the liquidator, civil actions, actuarial firms, lawyers, etc.

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. After verification of the quality and retention of the electronic images, the paper documents will be kept on site for 3 months and then destroyed confidentially.

RETENTION: EVENT (CLOSE OF LIQUIDATION) + 1 YEAR AND DESTROY CONFIDENTIAL

00158000.	**HMO - OPT-IN / OPT-OUT FORMS**	**P**	**PERM**	**N**

Retain: Permanently Wis. Stat. § 601.46.

Records received from providers electing to opt-in or opt-out of certain exemptions relating to statutory immunity. These forms are filed in accordance with provisions listed in Wis. Stat. §§ 609.91 – 609.93. Forms are listed as OCI 22-510, 22-520, 22-530, and 22-540.

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. After verification of the quality and retention of the electronic images, the paper documents will be kept on site for 3 months and then destroyed confidentially.

Dept # **/310/** *Department Name* **MARKET REGULATION**

RDA #	*RDA Title*	*Retention*	*Disposition*	*PII*
00038000.	**GRIEVANCE REPORT**	**EVT+10**	**DEST**	**N**

Health Maintenance Organizations (HMOs), Limited Service Health Organizations (LSHOs), and Preferred Provider Plans (PPPs) annual reports describing the enrollee grievance procedure and summarizing grievances received and resolved in the previous calendar year as per Wis. Stat. § 632.83 and Wis. Adm. Code Ins 18.06.

RETENTION: EVENT (Superseded) + 10 years and destroy

00040000.	**POLICY AND FORM FILINGS BY RATE SERVICE ORGANIZATIONS**	**EVT+10**	**DEST**	**N**

Policies and forms filed by Rate Service Organizations on behalf of members and subscriber companies to enable insurers to comply with provisions of Wis. Stat. § 631.01 and 631.20 and Wis. Adm. Code Ins 6.05. File includes transmittal letters and related correspondence.

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

RETENTION: EVENT (Supersession or withdrawal) + 10 years and destroy

00041000. RATE FILINGS BY RATE SERVICE ORGANIZATIONS **EVT+5** **DEST** **N**

Filings made by Rate Service Organizations on behalf of members and subscriber companies of rate manuals, schedules, minimum rates, class rates, rating schedules or rating plans, underwriting rules, short rate tables, or modifications to any of the foregoing required of insurers. Filings include advisory rates and member company rate filings. Summary of loss and expense experience to aid in determination of compliance with rating law standards, lists of companies furnishings the experience, Wis. Stat. § 625.34, and related correspondence may also be included in the file. Wis. Stat. §625.13 and 625.15 and Wis. Adm. Code Ins 6.05.

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

RETENTION: EVENT (Date of filing) + 5 years and destroy

00042000. ORGANIZATION / LICENSE OF RATE SERVICE ORGANIZATIONS **EVT+10** **DEST** **N**

File includes license, articles and bylaws, membership information, and authorization letters for all Rate Service Organizations licensed to do business in Wisconsin per Wis. Stat. § 625.32 and Wis. Adm. Code Ins 6.05.

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

RETENTION: EVENT (Withdrawal or liquidation) + 10 years and destroy

00043000. STATISTICAL PLANS FOR RATE SERVICE ORGANIZATIONS **CR+1** **DEST** **N**

Plans required by the Commissioner for data accumulation used to record and report loss and expense experience, reported through Rate Service Organizations licensed to do so, Wis. Stat. § 625.34.

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

RETENTION: EVENT (Creation) + 1 year and destroy

00044000. RATE SERVICE ORGANIZATIONS EXAMINATION REPORTS **EVT+10** **DEST** **N**

Reports of the business, affairs, and general condition of Rate Service Organizations, as disclosed by periodic examination prepared by Bureau of Market Regulation staff, and authorized by the Commissioner, Wis. Stat.§ 601.42, 601.43, and 601.44.

RETENTION: EVENT (Superseded) + 10 years and destroy

00045000. RATE FILINGS OF PROPERTY AND CASUALTY INSURERS **EVT+5** **DEST** **N**

Filings of manuals, schedules, minimum rates, class rates, rating schedules or plans, short rate tables and modifications of rate filings, as filed by individual property and casualty insurers. Files are subdivided by lines of insurance and include supporting information, approval and disapproval letters. Loss and expense experience to aid in determination of compliance with rating law standards, Wis. Stat. § 625.34 and related correspondence may also be included in the files. Wis. Stat. § 625.13, 625 .15, 625.22, and ch. 631 and Wis. Adm. Code Ins 6.05.

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

RETENTION: EVENT (Date of approval or denial) + 5 years and destroy

00046000. DIVIDEND PLAN FILINGS OF PROPERTY AND CASUALTY INSURERS **EVT+5** **DEST** **N**

Filings of all Dividends declared by property and casualty insurer, including worker's compensation and all other participating policies, as required by Wis. Stat.§ 631.51. Files include approval and disapproval letters and related correspondence.

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

RETENTION: EVENT (Date of approval or denial) + 5 years and destroy

00047000.	**RATE FILINGS**	**EVT+10**	**DEST**	**N**

Individual rating schedules for accident and health insurance policies required to be filed by insurers under Wis. Stat. ch. 625. May also include rates for disability insurance sold to the Medicare eligible pursuant to Wis. Admin. Code § INS 3.39 and rates filed for group and blanket insurance.

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 kept on site for 3 months and then destroyed.

RETENTION: EVENT (Superseded) + 10 years and destroy

00048000.	**MARKET CONDUCT EXAMINATION WORKPAPERS**	**EVT+10**	**DEST**	**Y**

Examination workpapers of auditor which are compiled while examining licensed insurers. Records may include spreadsheets, exceptions, claims manuals, underwriting and rating manuals, sales and marketing information, and correspondence.

Event: Date examination is completed, superseded by new examination or otherwise statused as closed/withdrawn.

Statutory reference Wis. Admin. Code INS § 6.13(3)(c)1 confidentiality of workpapers. The office, under Wis. Stat. § 601.465, may refuse to disclose and prevent any person from disclosing, in response to a request for production, deposition, subpoena, or otherwise, information obtained from the National Association of Insurance Commissioners or another state's
insurance department under pledge of confidentiality or for the purpose of conducting an investigation or examination or obtained, produced or created in the course of an inquiry under Wis. Stat. § 601.42, , or examination under Wis. Stat. § 601.43, This privilege applies to information obtained, produced or created before or after the effective date of Wis. Stat. §
601.465, and regardless of whether an inquiry, investigation or examination has been concluded, except it does not apply to a document which is an adopted examination report.

Adopted Examination Reports are covered under RDA 152.

RETENTION: EVENT + 10 years and destroy confidential

00050000.	**LIFE INSURANCE RATES AND DIVIDEND ILLUSTRATIONS**	**EVT+10**	**DEST**	**N**

Tables of Rates for Life Insurance, including Credit Life Insurance, required to be filed by Insurers under Wis. Stat. § 631.20.

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

RETENTION: EVENT (Superseded) + 10 years and destroy

00051000.	**FILED & ACCEPTED INSURER FORM FILINGS - P & C, ACCIDENT & HEALTH**	**EVT+50**	**DEST**	**N**

Approved, deemed approved, or filed form filings, rate filings, advertising filings and actuarial certifications required to be filed by insurers under Wis. Stat. § 631.20 and Wis. Admin. Code § INS 6.05. Filings include policy transmittal form, master policy, endorsements, certificate of readability, if applicable, and certificate of compliance. Lines of insurance covered are Property and Casualty, Accident & Health (Individual, Group and Blanket).

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 paper documents will be kept on site for 3 months and then destroyed.

Retention Justification: The retention period for these documents is necessary for the Office of the Commissioner of Insurance (OCI) to appropriately exercise our regulatory oversight of the insurance industry. These are forms that are required to be filed by insurance companies OCI regulates, which are subject to extended retention periods, potentially between 50-100 years, under Wis. Admin. Code § INS 6.61 and Wis. Admin. Code § INS 6.80. Accordingly, OCI needs to
be able to maintain records of these documents as a means of verifying and authenticating the company records.

RETENTION: EVENT (Date of filing) + 50 years and destroy

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

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

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

RETENTION: EVENT (Date of filing) + 2 years and destroy

00152000.	**ADOPTED MARKET CONDUCT EXAM REPORTS**	**P**	**PERM**	**N**

Adopted Market Conduct Examination Reports are final/accepted reports of business, affairs, and general market condition of insurers, as disclosed by material reviewed for the examination as authorized by Wis. Stat. § 601.44. Includes reports from all types of Market Conduct Examinations such as Multi-state, Targeted, Compliance, and Full scope.

Market Conduct Examination Workpapers are covered by RDA 48.

Permanent Retention Justification - Wis. Stat. § 601.46 (2).

00153000.	**FILED & ACCEPTED INSURER FORM FILINGS - LIFE**	**EVT+100**	**SHSW**	**N**

Approved, deemed approved, or filed form filings, rate filings, advertising filings and actuarial certifications required to be filed by insurers under Wis. Stat. § 631.20 and Wis. Admin. Code § INS 6.05. Filings include policy transmittal form, master policy, endorsements, certificate of readability, if applicable, and certificate of compliance. Lines of insurance covered: Life (Group, Individual and Annuities).

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 paper documents will be kept on site for 3 months and then destroyed.

Retention Justification: The retention period for these documents is necessary for the Office of the Commissioner of Insurance (OCI) to appropriately exercise our regulatory oversight of the insurance industry. These are forms that are required to be filed by insurance companies OCI regulates, which are subject to extended retention periods, potentially between 50-100 years, under Wis. Admin. Code § INS 6.61 and Wis. Admin. Code § INS 6.80. Accordingly, OCI needs to be able to maintain our own records of these documents as a means of verifying and authenticating the company recordS.

EVENT = Date of filing

00159000.	**ANNUAL REQUIRED FILINGS - MARKET REGULATION REPORTS**	**EVT+10**	**DEST**	**N**

Records include Medicare Supplement reports required to be filed annually by insurance companies providing Medicare supplement policies, Medicare select policies or certificates, or Medicare cost policies. Market Regulation Long-term Care (LTC) reports required to be filed annually by insurance companies that have individual and group nursing home policies, long-term care policies, and life insurance long-term care coverage. Market Regulation Managed Care reports required to be filed annually by insurance companies that have individual and group nursing home policies, long-term care policies, and life insurance long-term care coverage.

These records were identified during agency review as not being covered under existing RDA.

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. After verification of the quality and retention of the electronic images, the paper documents will be kept on site for 3 months and then destroyed confidentially.

RETENTION: EVENT (DATE OF RECEIPT) + 10 YEARS AND DESTROY CONFIDENTIAL

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

RDA #	RDA Title	Retention	Disposition	PII
00035000.	**COMPLAINT FILES**	**EVT+10**	**DEST**	**Y**

As Insurance complaints are filed with the Commissioner, paper complaint material is scanned into the Complaint System. Each complaint is labeled with year code and numerically starting with 0001 at the beginning of each year. Each complaint file contains all correspondence and records pertaining to that particular file including complaint correspondence, memoranda on complaint

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

RDA #	RDA Title	Retention	Disposition	PII

investigations and related material. Some complaint files may be referred to legal files, see RDA 000/22/000. In order to comply with Wis. Stat. § 137.20, the paper complaint material will be imaged and subjected to review, to ensure the images of these materials are electronically stored and the quality of these images is acceptable. Upon verification of the quality and retention of the electronic images, the paper documents will be kept on site for 3 months and then confidentially destroyed or returned to the consumer if the documents are original policy documents.

RETENTION: EVENT (Date complaint is closed) + 10 years and destroy confidential

Dept #	/400/	Department Name	AGENTS LICENSING

RDA #	RDA Title	Retention	Disposition	PII
00068000.	EBPA / PBM INITIAL / RENEWAL APPLICATIONS	EVT+5	DEST	N

Initial/renewal applications for Pharmacy Benefit Managers (PBMs) licensed under Wis. Stat. ch. 632, or Employee Benefit Plan Administrators (EBPAs) licensed under Wis. Stat. ch. 633. The application includes demographics, biographical information, performance bond, and financial statements for the EBPA/ PBM. The licenses for both EBPAs and PBMs must be renewed annually on or before August 1st.

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.

RETENTION: EVENT (Date of Approval or Renewal) + 5 years and destroy

RDA #	RDA Title	Retention	Disposition	PII
00127000.	APPLICATION FOR TEMPORARY AGENT LICENSE	EVT+3	DEST	Y

Individuals are required to file an application with The Office of the Commissioner ofinsurance to obtain licensure for that individual to solicit, negotiate and effect contracts of insurance for a deceased or disabled agent This license is for a temporary period not to exceed one year, Wis. Stat.§ 628.09. .

RETENTION: EVENT (Date of Approval) + 3 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
00128000.	APPOINTMENT / TERMINATION FORM	EVT+3	DEST	Y

Pursuant to Wis. Stats.§ 628.11, Wis. Admin. Code§ Ins 6.57, insurers are required to notify The Office of the Commissioner of Insurance of resident/nonresident appointments and terminations.

Insurance companies submit appointment/termination requests via the National Insurance Producer Registry (NIPR) to appoint or terminate agents affiliated with their company.

RETENTION: EVENT (Date of Receipt) + 3 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
00130000.	INSURANCE LICENSE APPLICATION	EVT+7	DEST	Y

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

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

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

RETENTION: EVENT (Receipt of application) + 7 years and destroy confidential

RDA #	RDA Title	Retention	Disposition	PII
00137000.	CONTINUING EDUCATION WAIVER REQUEST FORMS	EVT+3	DEST	Y

Agent can request a waiver of continuing education requirement. The request may include an agent statement, a statement from the agent's doctor, or a statement from any branch of the Armed Forces or its Reserve regarding an agent's active duty. Agent must submit form OCI 11-97 no later than 90 days prior to the end of the continuing education compliance period for which such waiver is requested. The Office of the Commissioner of Insurance can approve/disapprove the agent's request based on the guidelines stipulated in Wis. Admin. Code§ Ins 28.05.

Dept #	/400/	Department Name	AGENTS LICENSING

RDA #	RDA Title	Retention	Disposition	PII

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.

RETENTION: EVENT (Date of Receipt) + 3 years and destroy confidential

00139000.	WITHDRAWN INSURANCE LICENSE APPLICATION	EVT+3	DEST	Y

Prior to original license issuance, an application for a permanent resident/nonresident agent license may be withdrawn. This notification of withdrawal request is part of the record.

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 refo1matted 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.

RETENTION: EVENT (Date of Withdrawal) + 3 years and destroy confidential

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

RDA #	RDA Title	Retention	Disposition	PII
00032000.	SERVICE OF PROCESS	CR+3	DEST	N

As described in Wis. Stat.§ 601 .72 and under procedures specified in Wis. Stat.§ 601.73, the Commissioner is the constituted attorney to receive service of summons, notices, orders, pleadings, and all other legal process relating to any court or administrative agency in this state for certain insurers authorized to do business in this state; for surplus lines insurers; for unauthorized insurers, and for nonresident intermediaries.

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

RETENTION: EVENT (Creation) + 3 years and destroy