

IV. RECORDS RETENTION SCHEDULE

612-48

INSURANCE DIVISION, LICENSING UNIT  
DEPARTMENT OF LICENSING AND REGULATION

SUPERCEDES  
SCHEDULE NO. 612-28

This Schedule Lists Only Those Records  
Created and Used in the

Licensing Unit of the  
Examination and Licensing Section

SUPERSEDES SCHEDULE 612-28  
DEPARTMENT OF GENERAL SERVICES  
Records Management Division

SCHEDULE NO. 612-48

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RECORDS RETENTION AND DISPOSAL SCHEDULE

Department of Licensing & Regulation		Insurance Division Licensing Unit
AGENCY		DIVISION
Item No.	Description	Retention
1.	<u>CERTIFICATE OF QUALIFICATION APPLICATIONS:</u> Applications, renewals, correspondence, and other miscellaneous papers for resident and non-resident agents, brokers, surplus lines brokers and temporary files; excluding corporate and partnership records.	Retain in office until next renewal period (every odd year). Transfer to the State Records Center for twelve (12) additional years, then destroy.
2.	<u>EXAMINATION APPLICATIONS:</u> This file contains written applications for examinations.	Retain in office two (2) years. Transfer to the State Records Center for seven (7) additional years, then destroy.
3.	<u>MISCELLANEOUS LICENSE APPLICATIONS:</u> License applications relating to insurance advisors, public adjusters, rating bureaus and vending machine licenses.	a. Retain insurance advisor and public adjuster applications in office for two (2) years. Transfer to the State Records Center for twelve (12) additional years, then destroy.

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Schedule Approved by Department, Agency, or Division Representative

Schedule Authorized by Hall of Records Commission

5/5/88 *Joseph T. Seidel* Director of Administration 5/25/88 *Shank* State Archivist

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Item No.	Description	Retention
		<p>b. Retain rating bureau applications in office six (6) years, then destroy.</p> <p>c. Retain vending machine applications in office three (3) years, then destroy.</p>
4.	<p><u>AGENTS' COMPANY APPOINTMENT/CANCELLATION APPLICATIONS:</u></p> <p>Applications utilized in the appointment and cancellation of insurance agents with licensed insurers.</p>	<p>Retain in office two (2) years. Transfer to the State Records Center for seven (7) additional years, then destroy.</p>
5.	<p><u>TRADE NAME FILINGS:</u></p> <p>Documentation relevant to the filings of insurance agency and trade names with the Division.</p>	<p>Retain in office while active, then destroy.</p>
6.	<p><u>CORPORATE/PARTNERSHIP FILES:</u></p> <p>Documents relevant to the registration and licensure of corporations and partnerships.</p>	<p>Retain in office while active; transfer to the State Records Center for two (2) years, then destroy.</p>

**RECORDS RETENTION AND DISPOSAL SCHEDULE**  
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Item No.	Description	Retention
7.	<u>COMPUTERIZED LISTINGS:</u> Edits and summaries of Certificates, certifications, appointments and cancellations, issued daily and duplicates and corrections thereto.	Retain in office for two (2) years or audit, then destroy.
8.	<u>CERTIFICATION/CLEARANCE CORRESPONDENCE:</u> Documentation requesting letters of certification or clearance letters.	Retain in office one (1) year, then destroy.
9.	<u>MISCELLANEOUS CORRESPONDENCE:</u> Personnel records, company/agency correspondence, agents/brokers revocation/suspension files, reciprocal files from other States.	Retain permanently in office while active, then destroy.