

DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS

Approved Records Retention And Disposition Schedules (Forms SA-1)
Compiled By The DAGS, Archives Division, Records Management Branch*

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**RECORD SERIES REPORT
DEPT. OF COMMERCE & CONSUMER AFFAIRS**

DEPARTMENT: 4302000000
DCCA REG INDUST COMP OFC

*RECORD
SERIES ID RECORD SERIES DESCRIPTION*

430200 DCCA REGULATED INDUSTRIES COMPLAINTS OFFICE
430200-00001 F-1 COMPLAINT CASE FILES (A) CASES WITH NO LEGAL ACTION.
SA-1 DTD 8/8/01 ITEM F-1 (A)
Retention: 5 years from end of calendar year of case disposition date.
Disposition: Retain in office. Destroy after cited retention.

430200-00002 F-1 COMPLAINT CASE FILES (B) CASES WITH LEGAL ACTION
(1) LEGAL PROCEEDINGS DOCUMENTS.
SA-1 DTD 8/8/01 ITEM F-1 (B) (1)
Retention: Until no longer needed for enforcement information purposes.
Disposition: Records may be captured and stored on another
lasting media (e.g., microfilm) as long as copy is able to satisfy
retention requirements. Originals may be destroyed after microfilming.

430200-00003 F-1 COMPLAINT CASE FILES (B) CASES WITH LEGAL ACTION
(2) ADMINISTRATIVE AND OTHER DOCUMENTS.
SA-1 DTD 8/8/01 ITEM F-1 (B) (2)
Retention: 5 years from end of calendar year of compliance date.
Disposition: Retain in office. Purge from files after cited retention.

**RECORD SERIES REPORT
DEPT. OF COMMERCE & CONSUMER AFFAIRS**

DEPARTMENT: 4303000000
DCCA ADMIN HEARINGS OFC

*RECORD
SERIES ID RECORD SERIES DESCRIPTION*

430300 DCCA ADMINISTRATIVE HEARINGS OFFICE
430300-00001 MEDICAL CLAIM CONCILIATION PANEL FILES
SA-1 DTD 9/28/99. ITEM G-1.
Retention: 1 year from close of file.
Disposition: Retain in office for authorized retention period, then destroy.

430300-00002 DESIGN PROFESSIONAL CONCILIATION PANEL FILES
SA-1 DTD 9/28/99. ITEM G-2
Retention: 1 year from close of file.
Disposition: Retain in office for authorized retention period, then destroy.

430300-00003 MOTOR VEHICLE NO-FAULT INSURANCE CONTESTED CASE FILES
SA-1 DTD 9/28/99. ITEM G-3 (A) FINAL ORDERS WITH SUPPORTING
FINDINGS / CONCLUSIONS / RECOMMENDATIONS.
Retention: 3 years from close of file.
Disposition: Retain in office for authorized retention period, then destroy.

430300-00004 MOTOR VEHICLE NO-FAULT INSURANCE CONTESTED CASE FILES
SA-1 DTD 9/28/99. ITEM G-3 (B) OTHER PLEADINGS,
CORRESPONDENCE, EXHIBITS, AND FILINGS; AUDIO TAPES.
Retention: 4 months from close of file.
Disposition: Retain in office for authorized retention period, then destroy.

430300-00005 REGULATED INDUS. & BUS. REGIS. DISCIPLINARY CONTESTED CASE FILES
SA-1 DTD 9/28/99. ITEM G-4 (A) FINAL ORDERS WITH SUPPORTING
FINDINGS / CONCLUSIONS / RECOMMENDATIONS.
Retention: 10 years from close of file.
Disposition: Retain in office for authorized retention period, then destroy.

430300-00006 REGULATED INDUS. & BUS. REGIS. DISCIPLINARY CONTESTED CASE FILES
SA-1 DTD 9/28/99. ITEM G-4 (B) OTHER PLEADINGS,
CORRESPONDENCE, EXHIBITS, AND FILINGS; AUDIO TAPES.
Retention: 4 months from close of file.
Disposition: Retain in office for authorized retention period, then destroy.

430300-00007 BUS. REGIS. TRADENAME/TRADEMARK & SIMILAR REVOC. PROCEEDINGS
SA-1 DTD 9/28/99. ITEM G-5 (A) FINAL ORDERS WITH SUPPORTING
FINDINGS / CONCLUSIONS / RECOMMENDATIONS.
Retention: 3 years from close of file.
Disposition: Retain in office for authorized retention period, then destroy.

430300-00008 BUS. REGIS. TRADENAME/TRADEMARK & SIMILAR REVOC. PROCEEDINGS
SA-1 DTD 9/28/99. ITEM G-5 (B) OTHER PLEADINGS,
CORRESPONDENCE, EXHIBITS, AND FILINGS; AUDIO TAPES.
Retention: 4 months from close of file.
Disposition: Retain in office for authorized retention period, then destroy.

**RECORD SERIES REPORT
DEPT. OF COMMERCE & CONSUMER AFFAIRS**

DEPARTMENT: 4306000000
DCCA DIV OF FINANCIAL INST

RECORD

SERIES ID RECORD SERIES DESCRIPTION

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- 430600 DCCA DIVISION OF FINANCIAL INSTITUTIONS
430600-00001 EXAMINATION RECORDS (A) EXAMINATION REPORTS OF BANKS, TRUST CO., SAVINGS & LOAN ASSOC., FINANCIAL SERVICES LOAN CO., AND CREDIT UNIONS
SA-1 DTD 10/16/98. ITEM A-1(A).
Retention: 10 years from year of examination.
Disposition: Destroy after cited retention.
- 430600-00002 EXAMINATION RECORDS (B) WORKPAPERS DEVELOPED FROM ANNUAL FIELD EXAMS
SA-1 DTD 10/16/98. ITEM A-1(B).
Retention: Non-permanent.
Disposition: Retain workpapers for last two examinations; destroy all other superseded workpapers.
- 430600-00003 SEMI-ANNUAL REPORTS OF CONDITION FROM FINANCIAL INSTITUTIONS FILED WITH THE COMMISSIONER OF FINANCIAL INSTITUTIONS
SA-1 DTD 10/16/98. ITEM A-2.
Retention: 10 years from close of fiscal year filed.
Disposition: Destroy after cited retention.
- 430600-00004 SEMI-ANNUAL COMPARATIVE STATEMENTS OF CONDITION (A) COMPARATIVE STATEMENTS OF CONDITION OF BANKS, TRUST CO., SAVINGS & LOAN ASSOC. AND FINANCIAL SERVICES LOAN CO., INSURED BY FDIC.
SA-1 DTD 10/16/98. ITEM A-3(A).
Retention: Permanent.
Disposition: Records may be captured and stored on another lasting media (e.g., microfilm) as long as copy is able to satisfy retention requirements.
Originals may be destroyed after microfilming.
- 430600-00005 SEMI-ANNUAL COMPARATIVE STATEMENTS OF CONDITION (B) COMPARATIVE CONSOLIDATED STATEMENTS OF CONDITION OF FINANCIAL SERVICES LOAN CO. (NOT INSURED BY FDIC)
SA-1 DTD 10/16/98. ITEM A-3(B).
Retention: Permanent.
Disposition: Records may be captured and stored on another lasting media (e.g., microfilm) as long as copy is able to satisfy retention requirements. Originals may be destroyed after microfilming.
- 430600-00006 RECEIPTS FOR FEES ON APPLICATIONS, EXAMINATIONS, SPECIAL EXAMINATIONS, EXTRA SERVICES, ETC.
SA-1 DTD 10/16/98. ITEM A-4.
Retention: 3 years if audited, otherwise 6 years.
Disposition: Destroy after cited retention.
- 430600-00007 AUDIT REPORTS OF ESCROW DEPOSITORIES AND FINANCIAL SERVICES LOAN COMPANIES INSURED BY THE FDIC
SA-1 DTD 10/16/98. ITEM A-5.
Retention: 5 years after report received.
Disposition: Destroy after cited retention.

**RECORD SERIES REPORT
DEPT. OF COMMERCE & CONSUMER AFFAIRS**

DEPARTMENT: 4306000000
DCCA DIV OF FINANCIAL INST

*RECORD
SERIES ID RECORD SERIES DESCRIPTION*

430600-00008 FILES RELATIVE TO APPLICATIONS (BANKS, TRUST COMPANIES, SAVINGS & LOAN ASSOCIATIONS, FINANCIAL SERVICES LOAN CO., CREDIT UNIONS, ESCROW DEPOSITORIES AND FOREIGN LENDERS) WITHDRAWN, ABANDONED, OR DENIED.
SA-1 DTD 10/16/98. ITEM A-6.
Retention: 5 years from date of notification to applicant that application is considered withdrawn, abandoned, or denied.
Disposition: Destroy after cited retention.

430600-00009 FILES RELATIVE TO LICENSES, OFFICES OR CERTIFICATES OF EXEMPTION (BANKS, TRUST CO., SAVINGS & LOAN ASSOCIATIONS, FINANCIAL SERVICES LOAN CO., CREDIT UNIONS, ESCROW DEPOSITORIES, FOREIGN LENDERS) CANCELLED, REVOKED OR LAPSED.
SA-1 DTD 10/16/98. ITEM A-7.
Retention: 10 years from date of cancellation or revocation of license or nonrenewal of certificate of exemption.
Disposition: Destroy after cited retention.

430600-00010 COMPLAINT FILES
SA-1 DTED 10/16/98 ITEM A-8.
Retention: 3 years from date of complaint.
Disposition: Destroy after cited retention.

430600-00011 FILES RELATIVE TO LICENSEES/COMPANIES WHICH HAVE BEEN PLACED IN CONSERVATORSHIP OR RECEIVERSHIP BY THE STATE OR FEDERAL REGULATORY AGENCY, PURCHASED BY ANOTHER LICENSEE/COMPANY, MERGED INTO OR WITH ANOTHER LICENSEE/COMPANY, TAKEN OVER BY ANOTHER LICENSEE/COMPANY, OR WHICH ARE THE SUBJECT OF ON-GOING LITIGATION.
SA-1 DTD 10/16/98. ITEM A-9.
Retention: 10 years after purchased by merged into, taken over by another licensee/company or completion of litigation action.
Disposition: Retain in office for 5 years. May transfer to State Records Center.
Destroy after cited retention.

430600-00012 ESCROW DEPOSITORY TRI-PARTY AGREEMENTS, BONDS & INSURANCE POLICIES
SA-1 DTD 10/16/98 ITEM A-10
Retention: 10 years after expiration of coverage period.
Disposition: may store at State Records Center. Destroy after cited retention.

**RECORD SERIES REPORT
DEPT. OF COMMERCE & CONSUMER AFFAIRS**

DEPARTMENT: 4307000000
DCCA BUS REGISTRATION

*RECORD
SERIES ID RECORD SERIES DESCRIPTION*

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- 430700 DCCA BUSINESS REGISTRATION DIV
- 430700-00001 CORPORATION FILES (A) HAWAII CORPORATIONS: CORPORATION DOCUMENTS INCLUDING ARTICLES OF INCORPORATION, AFFIDAVIT OF OFFICERS, MERGERS, ORDERS, AMENDMENTS, INCREASE OF CAPITAL STOCK, REDUCTION OF CAPITAL STOCK, AND RELATED DOCUMENTS. SA-1 DTD 9/9/99 ITEM B-1(A).
Retention: Permanent.
Disposition: Transfer service copy microfiche of final dissolved cases to Archives 10 years after dissolution. Original may be destroyed after microfilming. Retain master microfiche in-house.
- 430700-00002 CORPORATION FILES (B) FOREIGN CORPORATIONS (1) CORPORATION DOCUMENTS INCLUDING CHARTER OF INCORPORATION, AFFIDAVIT OF OFFICERS, MERGERS, ORDERS, AMENDMENTS, INCREASE OF CAPITAL STOCK AND DOCUMENTS RELATIVE THERETO. SA-1 DTD 9/9/99 ITEM B-1(B)(1).
Retention: 10 years after withdrawal, cancellation, or merger.
Disposition: May transfer to State Records center annually after withdrawal, cancellation, or merger. Destroy after cited retention.
- 430700-00003 CORPORATION FILES (B) FOREIGN CORPORATIONS (2) STUBS FOR FOREIGN CORPORATION LICENSE. SA-1 DTD 9/9/99 ITEM B-1(B)(2).
Retention: 10 years after license expires.
Disposition: May store at State Records Center. Destroy after cited retention.
- 430700-00004 CORPORATION FILES (C) CORPORATION ANNUAL REPORTS, DOMESTIC & FOREIGN (1) PROFIT CORPORATION ANNUAL REPORTS. SA-1 DTD 9/9/99 ITEM B-1(C)(1).
Retention: Permanent.
Disposition: Records may be captured and stored on another lasting media (e.g., microfilm) as long as copy is able to satisfy retention requirements. Originals may be destroyed after microfilming. Records on microfilm may be transferred to Archives 10 years after filing year.
- 430700-00005 CORPORATION FILES (C) CORPORATION ANNUAL REPORTS, DOMESTIC & FOREIGN (2) NONPROFIT CORPORATION ANNUAL REPORTS. SA-1 DTD 9/9/99 ITEM B-1(C)(2).
Retention: Permanent.
Disposition: Records may be captured and stored on another lasting media (e.g., microfilm) as long as copy is able to satisfy retention requirements. Originals may be destroyed after microfilming. Records on microfilm may be transferred to Archives 10 years after filing year.

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DCCA BUS REGISTRATION

*RECORD
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- 430700-00006 CORPORATION FILES (C) CORPORATION ANNUAL REPORTS, DOMESTIC & FOREIGN (3) AGRICULTURE & FISHING CORPORATION ANNUAL REPORTS
SA-1 DTD 9/9/99 ITEM B-1(C)(3).
Retention: Permanent.
Disposition: Records may be captured and stored on another lasting media (e.g., microfilm) as long as copy is able to satisfy retention requirements. Originals may be destroyed after microfilming. Records on microfilm may be transferred to Archives 10 years after filing year.
- 430700-00007 CORPORATION FILES (D) SERVICE OF PROCESS.
SA-1 DTD 9/9/99 ITEM B-1(D).
Retention: 2 years from service date.
Disposition: Destroy after cited retention.
- 430700-00017 LIMITED LIABILITY COMPANY FILES (A) HAWAII LIMITED LIABILITY COMPANIES: LIMITED LIABILITY COMPANY DOCUMENTS INCLUDING ARTICLES OF ORGANIZATION - CONVERSION, MERGERS, ORDERS, AMENDMENTS, STATEMENTS AND RELATED DOCUMENTS.
SA-1 DTD 9/9/99 ITEM B-2(A).
Retention: Permanent.
Disposition: Transfer service copy microfilm of final terminated cases to Archives 10 years after termination. Original may be destroyed after microfilming. Retain master microfiche in-house.
- 430700-00018 LIMITED LIABILITY COMPANY FILES (B) FOREIGN LIMITED LIABILITY COMPANIES: LIMITED LIABILITY COMPANY DOCUMENTS INCLUDING ARTICLES OF ORGANIZATION - CONVERSION, MERGERS, ORDERS, AMENDMENTS, STATEMENTS AND RELATED DOCUMENTS.
SA-1 DTD 9/9/99 ITEM B-2(B).
Retention: 10 years after cancellation or revocation.
Disposition: May transfer to State Records Center annually after cancellation or revocation. Destroy after cited retention.
- 430700-00019 LIMITED LIABILITY COMPANY FILES (C) LIMITED LIABILITY COMPANY ANNUAL REPORTS, DOMESTIC AND FOREIGN.
SA-1 DTD 9/9/99 ITEM B-2(C).
Retention: Permanent.
Disposition: Records may be captured and stored on another lasting media (e.g., microfilm) as long as copy is able to satisfy retention requirements. Originals may be destroyed after microfilming. Records on microfilm may be transferred to Archives 10 years after filing year.
- 430700-00023 PARTNERSHIP FILES (A) PARTNERSHIP REGISTRATION STATEMENTS.
SA-1 DTD 9/9/99 ITEM B-3(A).
Retention: Permanent.
Disposition: Records may be captured and stored on another lasting media (e.g., microfilm) as long as copy is able to satisfy retention requirements. Originals may be destroyed after microfilming. Records on microfilm may be transferred to Archives 10 years after date received.

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*RECORD
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- 430700-00024 PARTNERSHIP FILES (B) PARTNERSHIP ADMISSION; WITHDRAWAL OR DEATH STATEMENTS; PARTNERSHIP DISSOLUTION; CHANGE OF NAME STATEMENTS; AND RELATED DOCUMENTS.
SA-1 DTD 9/9/99 ITEM B-3(B).
Retention: Permanent.
Disposition: Records may be captured and stored on another lasting media (e.g., microfilm) as long as copy is able to satisfy retention requirements. Originals may be destroyed after microfilming. Records on microfilm may be transferred to Archives 10 years after date received.
- 430700-00025 PARTNERSHIP FILES (C) PARTNERSHIP ANNUAL STATEMENTS.
SA-1 DTD 9/9/99 ITEM B-3(C).
Retention: Permanent.
Disposition: Records may be captured and stored on another lasting media (e.g., microfilm) as long as copy is able to satisfy retention requirements. Originals may be destroyed after microfilming. Records on microfilm may be transferred to Archives 10 years after filing year.
- 430700-00026 PARTNERSHIP FILES (D) CERTIFICATES OF LIMITED PARTNERSHIP AND AMENDMENTS TO CERTIFICATES OF LIMITED PARTNERSHIP; CANCELLATION OF LIMITED PARTNERSHIPS; AND RELATED DOCUMENTS (PARTNERSHIP FILE).
SA-1 DTD 9/9/99 ITEM B-3(D).
Retention: Permanent.
Disposition: When volume warrants, records may be captured and stored on another lasting media (e.g., microfilm) as long as copy is able to satisfy retention requirements. Originals may be destroyed after microfilming. Records on microfilm may be transferred to Archives 10 years after cancelled.
- 430700-00030 LIMITED LIABILITY PARTNERSHIP FILES (A) CERTIFICATES OF LIMITED LIABILITY PARTNERSHIP AND AMENDMENTS TO CERTIFICATES OF LIMITED LIABILITY PARTNERSHIP; DISSOLUTION OF LIMITED LIABILITY PARTNERSHIPS AND DOCUMENTS RELATIVE THERETO.
SA-1 DTD 9/9/99 ITEM B-4(A).
Retention: Permanent.
Disposition: When volume warrants, records may be captured and stored on another lasting media (e.g., microfilm) as long as copy is able to satisfy retention requirements. Originals may be destroyed after microfilming. Records on microfilm may be transferred to Archives 10 years after cancelled, dissolved, withdrawn, revoked or merged.
- 430700-00031 LIMITED LIABILITY PARTNERSHIP FILES (B) LIMITED LIABILITY PARTNERSHIP ANNUAL STATEMENTS, DOMESTIC AND FOREIGN.
SA-1 DTD 9/9/99 ITEM B-4(B).
Retention: Permanent.
Disposition: Records may be captured and stored on another lasting media (e.g., microfilm) as long as copy is able to satisfy retention requirements. Originals may be destroyed after microfilming. Records on microfilm may be transferred to Archives 10 years after filing year.

**RECORD SERIES REPORT
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DEPARTMENT: 4307000000
DCCA BUS REGISTRATION

*RECORD
SERIES ID RECORD SERIES DESCRIPTION*

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- 430700-00035 FILE ON TRADE NAMES, TRADEMARKS, PRINT LABELS (A) REGISTRATION APPLICATIONS
SA-1 DTD 9/9/99 ITEM B-5(A)
Retention: Permanent.
Disposition: Records may be captured and stored on another lasting media (e.g., microfilm) as long as copy is able to satisfy retention requirements. Originals may be destroyed after microfilming. Records on microfilm may be transferred to Archives 10 years after filing year.
- 430700-00036 FILES ON TRADE NAMES, TRADEMARKS, PRINTS LABELS (B) CERTIFICATES OF REGISTRATIONS.
SA-1 DTD 9/9/99 B-5(B).
Retention: Permanent.
Disposition: Records may be captured and stored on another lasting media (e.g., microfilm) as long as copy is able to satisfy retention requirements. Originals may be destroyed after microfilming. Records on microfilm may be transferred to Archives 10 years after filing year.
- 430700-00037 FILES ON TRADE NAMES, TRADEMARKS, PRINTS LABELS (C) ASSIGNMENT OF APPLICATIONS.
SA-1 DTD 9/9/99 ITEM B-5(C).
Retention: Permanent.
Disposition: Records may be captured and stored on another lasting media (e.g., microfilm) as long as copy is able to satisfy retention requirements. Originals may be destroyed after microfilming. Records on microfilm may be transferred to Archives 10 years after date received.
- 430700-00041 FILES ON SECURITIES (A) REGISTRATION OF SECURITIES BY NOTIFICATION AND QUALIFICATION.
SA-1 DTD 9/9/99 ITEM B-6(A).
Retention: 7 years after cancellation.
Disposition: May transfer to State Records Center annually after cancellation. Destroy after cited retention.
- 430700-00042 FILES ON SECURITIES (B) APPLICATIONS FOR REGISTRATION AS DEALER IN SECURITIES.
SA-1 DTD 9/9/99 ITEM B-6(B).
Retention: 7 years after cancellation.
Disposition: May transfer to State Records Center annually after cancellation. Destroy after cited retention.
- 430700-00043 FILES ON SECURITIES (C) APPLICATIONS FOR RENEWAL OF REGISTRATION AS DEALER IN SECURITIES.
SA-1 DTD 9/9/99 ITEM B-6(C).
Retention: 7 years after cancellation.
Disposition: May transfer to State Records Center annually after cancellation. Destroy after cited retention.

**RECORD SERIES REPORT
DEPT. OF COMMERCE & CONSUMER AFFAIRS**

DEPARTMENT: 4307000000
DCCA BUS REGISTRATION

*RECORD
SERIES ID RECORD SERIES DESCRIPTION*

430700-00044 FILES ON SECURITIES (D) APPLICATIONS FOR REGISTRATION AS SECURITIES SALESMEN (NEW).
SA-1 DTD 9/9/99 ITEM B-6(D).
Retention: 7 years after cancellation.
Disposition: May transfer to State Records Center annually after cancellation. Destroy after cited retention.

430700-00045 FILES ON SECURITIES (E) APPLICATIONS FOR RENEWAL OF REGISTRATION AS SECURITIES SALESMEN.
SA-1 DTD 9/9/99 ITEM B-6(E).
Retention: 7 years after cancellation.
Disposition: May transfer to State Records Center annually after cancellation. Destroy after cited retention.

430700-00046 FILES ON SECURITIES (F) INVESTIGATION FILES.
SA-1 DTD 9/9/99 ITEM B-6(F).
Retention: 5 years from close of file.
Disposition: Retain in office. Destroy after cited retention.

430700-00047 FILES ON SECURITIES (G) STUBS FOR DEALERS & SALESMEN.
SA-1 DTD 9/9/99 ITEM B-6(G).
Retention: 10 years after issuance.
Disposition: Destroy after cited retention.

430700-00048 FILES ON SECURITIES (H) REGISTRATION OF SECURITIES BY COORDINATION.
SA-1 DTD 9/9/99 B-6(H).
Retention: 2 years from registration.
Disposition: Destroy after cited retention.

430700-00049 FILES ON SECURITIES (I) STATEMENTS OF PROFESSIONAL SOLICITORS FOR CHARITABLE ORGANIZATIONS AND SUPPORTING DOCUMENTS.
SA-1 DTD 9/9/99 B-6(I).
Retention: 5 years from end of fiscal year filed.
Disposition: Retain in office 2 years. May transfer to State Records Center for remainder of authorized retention period. Destroy after cited retention.

430700-00050 FILES ON SECURITIES (J) REGULATION "D" EXEMPT FILES.
SA-1 DTD 9/9/99 B-6(J).
Retention: 7 years from date of registration / filing or cancellation.
Disposition: Retain in office for 1 year after registration / filing or cancellation, then may transfer to State Records Center. Destroy after cited retention.

430700-00051 FILES ON SECURITIES (K) INVESTMENT ADVISER FILES (1) REGISTRATION FILES.
SA-1 DTD 9/9/99 B-6(K)(1).
Retention: 7 years from date of cancellation, termination, or expiration.
Disposition: Retain in office for 1 year after date of cancellation, termination, or expiration, then may transfer to State Records Center. Destroy after cited retention.

**RECORD SERIES REPORT
DEPT. OF COMMERCE & CONSUMER AFFAIRS**

DEPARTMENT: 4307000000
DCCA BUS REGISTRATION

*RECORD
SERIES ID RECORD SERIES DESCRIPTION*

- 430700-00052 FILES ON SECURITIES (K) INVESTMENT ADVISER FILES (2) RENEWAL FILES.
SA-1 DTD 9/9/99 B-6(K)(2).
Retention: 7 years from filing.
Disposition: Retain in office for 1 year after filing, then may transfer to State Records Center.
Destroy after cited retention.
- 430700-00053 FILES ON SECURITIES (L) INVESTMENT ADVISER REPRESENTATIVE FILES (1) REGISTRATION FILES.
SA-1 DTD 9/9/99 B-6(L)(1).
Retention: 7 years from date of cancellation, termination, or expiration.
Disposition: Retain in office for 1 year after date of cancellation, termination, or expiration, then may transfer to State Records Center. Destroy after cited retention.
- 430700-00054 FILES ON SECURITIES (L) INVESTMENT ADVISER REPRESENTATIVE FILES (2) RENEWAL FILES.
SA-1 DTD 9/9/99 B-6(L)(2).
Retention: 7 years from filing.
Disposition: Retain in office for 1 year after filing, then may transfer to state records center.
Destroy after cited retention.
- 430700-00055 FILES ON SECURITIES (M) MUTUAL FUND FILES.
SA-1 DTD 9/9/99 B-6(M).
Retention: 7 years from date of cancellation or expiration.
Disposition: Retain in office for 1 year after date of cancellation or expiration, then may transfer to State Records Center. Destroy after cited retention.
- 430700-00063 MISCELLANEOUS FILES (A) APPLICATIONS FOR RESERVATION OF CORPORATE NAMES.
SA-1 DTD 9/9/99 ITEM B-7(A).
Retention: 1 year after application.
Disposition: Destroy after cited retention.
- 430700-00064 MISCELLANEOUS FILES (B) FRANCHISE FILES: REGISTRATIONS & SUPPORTING DOCUMENTS.
SA-1 DTD 9/9/99 ITEM B-7(B).
Retention: 7 years after termination or expiration of franchise.
Disposition: Retain in office 2 years. May transfer to State Records Center for remainder of authorized retention. Destroy after cited retention.
- 430700-00065 MISCELLANEOUS FILES (C) FOREIGN LENDER FILE.
SA-1 DTD 9/9/99 ITEM B-7(C).
Retention: Permanent.
Disposition: Records may be captured and stored on another lasting media (e.g., microfilm) as long as copy is able to satisfy retention requirements. Originals may be destroyed after microfilming.

**RECORD SERIES REPORT
DEPT. OF COMMERCE & CONSUMER AFFAIRS**

DEPARTMENT: 4308000000
DCCA CABLE TELEVISION

RECORD

SERIES ID RECORD SERIES DESCRIPTION

430800 DCCA CABLE TELEVISION DIVISION
430800-00001 CABLE FEES / REVENUE FILES.
SA-1 DTD 10/16/98 ITEM I-1.
Retention: 6 years from date of transfer (sale or merger) of ownership or close of operations.
Disposition: May store at State Records Center. Destroy after cited retention.

430800-00002 FINANCIAL / TECHNICAL REPORTS.
SA-1 DTD 10/16/98 ITEM I-2.
Retention: 6 years from date of transfer (sale or merger) of ownership or close of operations.
Disposition: May store at State Records Center. Destroy after cited retention.

430800-00003 APPLICATION, TRANSFER, RENEWAL, AND FRANCHISE FILES.
SA-1 DTD 10/16/98 ITEM I-3.
Retention: 6 years from date of transfer (sale or merger) of ownership or close of operations.
Disposition: May store at State Records Center. Destroy after cited retention.

430800-00004 OPERATIONAL FILES.
SA-1 DTD 10/16/98 ITEM I-4.
Retention: 6 years from date of transfer (sale or merger) of ownership or close of operations.
Disposition: May store at State Records Center. Destroy after cited retention.

430800-00005 PUBLIC, EDUCATION, & GOVERNMENT ACCESS FILES.
SA-1 DTD 10/16/98 ITEM I-5.
Retention: Non-permanent.
Disposition: Destroy when no longer needed for administrative purposes.

**RECORD SERIES REPORT
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DEPARTMENT: 4309000000
DCCA OFC CONSUMER PROTECT

*RECORD
SERIES ID RECORD SERIES DESCRIPTION*

430900 DCCA OFFICE OF CONSUMER PROTECTION
430900-00001 OCP CASE RECORDS INDEX
SA-1 DATED 10/16/98, ITEM E-1
Retention: 5 years from close of case.
Disposition: Retain in office 5 years, then destroy.
SA-1 dated June 6, 1983, items h-1 1(a); h-1 1(b); h-1 (2); h-1 (3) are superseded.

430900-00002 CONSUMER COMPLAINT INVESTIGATION CASE RECORDS
SA-1 DATED 10/16/98 ITEM E-2
Retention: 5 years from close of case.
Disposition: Retain in office for 5 years, then destroy.
Restrictions: Some files may be confidential per HRS 487-5(8).

430900-00003 LANDLORD-TENANT DISPUTE INVESTIGATION CASE RECORDS
SA-1 DATED 10/16/98 ITEM E-3
Retention: 6 months from close of case.
Disposition: Keep in office 6 months, then destroy.

430900-00004 LEGAL SECT RCDS (1) LEGAL SECTION CASE RECORDS
SA-1 DATED 10/16/98 ITEM E-4(A)
Retention: 5 years from close of case.
Disposition: Retain in office 5 years, then destroy.
SA-1 dated June 6, 1983, item h-4(1) is superseded.

430900-00005 LEGAL SECT RCDS (2) ADVISORY OPINIONS
SA-1 DTD 10/16/98 ITEM E-4(B)
Retention: Permanent.
Disposition: Records may be captured and stored on another lasting media (e.g., microfilm) as long as copy is able to satisfy retention requirements. Originals may be destroyed after microfilming.

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**RECORD SERIES REPORT
DEPT. OF COMMERCE & CONSUMER AFFAIRS**

DEPARTMENT: 4311000000
DCCA INSURANCE

RECORD

SERIES ID RECORD SERIES DESCRIPTION

431100 DCCA INSURANCE

431100-00001 NEW & RENEWAL LICENSE APPLICATIONS OF INSURANCE CO, GEN AGENTS, SUBAGENTS, SOLICITORS, NON-RESIDENT AGENTS, ADJUSTORS, SURPLUS LINE BROKERS & SELF-INSUREDS.

SA-1 DTD 10/16/98 ITEM C-1.

Retention: 5 years from date of license inactivity.

Disposition: Destroy after cited retention.

431100-00002 CONFIRMATION OF APPOINTMENT BETWEEN INSURANCE CO & GEN AGENTS, BETWEEN GEN AGENTS & SUBAGENTS & BETWEEN GEN AGENTS & SOLICITORS & OTHER LICENSURE DOCUMENTS.

SA-1 DTD 10/16/98 ITEM C-2

Retention: 5 years from date of license inactivity.

Disposition: Destroy after cited retention.

431100-00003 PERSONAL HISTORY AFFIDAVITS REQUIRED BY HI INSURANCE LAW TO BE FILED BY EACH APPLICANT FOR A GENERAL, SUBAGENT, SOLICITOR, ADJUSTOR & NON-RESIDENT LICENSE.

SA-1 DTD 10/16/98 ITEM C-3.

Retention: 5 years from date of license inactivity.

Disposition: Destroy after cited retention.

431100-00004 LICENSES ISSUED TO INSURANCE CO, GENERAL AGENTS, SUBAGENTS, SOLICITORS, NON-RESIDENT AGENTS, SURPLUS LINE BROKERS & ADJUSTORS; USED AS CONTROL OF ORIGINALS IN LICENSEES' POSSESSION & TO INITIATE EXTENSION OF LICENSE.

SA-1 DTD 10/16/98 ITEM C-4

Retention: 10 years after last active appointment.

Disposition: Destroy after cited retention.

431100-00005 POWER OF ATTORNEY BY LICENSED NON-RESIDENT AGENT OR BROKER APPOINTING THE INSURANCE COMMISSIONER OF THE STATE OF HAWAII TO ACCEPT SERVICE OF LEGAL PROCESS IN ANY PROCEEDINGS AGAINST SAID AGENT OR BROKER.

SA-1 DTD 10/16/98 ITEM C-5

Retention: 5 years from date of license inactivity.

Disposition: Destroy after cited retention.

431100-00006 LEGAL DOCUMENTS FILE FOR EACH INSURANCE COMPANY LICENSED CURRENTLY OR PREVIOUSLY IN STATE, CONTAINING CHARTER, BY-LAWS, APPOINTMENT OF GENERAL AGENTS, APPOINTMENT OF U.S. MANAGER, ETC, REQUIRED TO BE ON FILE FOR ORIGINAL LICENSING & CONTINUING AUTHORITY. (A) DOMESTIC COMPANIES.

SA-1 DTD 10/16/98 ITEM C-6(A)

Retention: Permanent.

Disposition: Records may be captured and stored on another lasting media (e.g. microfilm) as long as Copy is able to satisfy retention requirements. Originals may be destroyed after microfilming.

431100-00007 LEGAL DOCUMENTS FILE FOR EACH INSURANCE COMPANY LICENSED CURRENTLY OR PREVIOUSLY IN STATE, CONTAINING CHARTER, BY-LAWS, APPOINTMENT OF GENERAL AGENTS, APPOINTMENT OF U.S. MANAGER, ETC, REQUIRED TO BE ON FILE FOR ORIGINAL LICENSING & CONTINUING AUTHORITY (B) FOREIGN & ALIEN CO

SA-1 DTD 10/16/98 ITEM C-6(B)

Retention: 5 yrs from date of license inactivity.

Disposition: Destroy after cited retention.

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**RECORD SERIES REPORT
DEPT. OF COMMERCE & CONSUMER AFFAIRS**

DEPARTMENT: 4311000000
DCCA INSURANCE

*RECORD
SERIES ID RECORD SERIES DESCRIPTION*

- 431100-00008 CERTIFICATES OF COMPLIANCE, DEPOSIT AND VALUATION ISSUED BY EACH FOREIGN AND ALIEN INSURANCE COMPANY'S DOMICILIARY STATE INSURANCE COMMISSIONER, AND REQUIRED TO BE FILED WITH HAWAII INSURANCE COMMISSIONER, BY HAWAII INSURANCE LAW.
SA-1 DTD 10/16/98 ITEM C-7
Retention: 5 years after filing.
Disposition: Destroy after cited retention.
- 431100-00009 PERIODIC FINANCIAL & OPERATING STATEMENTS OF ALL LICENSED INSURANCE COMPANIES, CERTIFIED SELF-INSUREDS AND THE HAWAII JOINT UNDERWRITING PLAN (HJUP), INCLUDING ANNUAL PARTICIPATING AGREEMENTS OF THE HJUP.
(A) DOMESTIC COMPANIES.
SA-1 DTD 10/16/98 ITEM C-8(A).
Retention: Permanent.
Disposition: Records may be captured and stored on another lasting media (e.g., microfilm) as long as copy is able to satisfy retention requirements. Originals may be destroyed after microfilming.
- 431100-00010 PERIODIC FINANCIAL & OPERATING STATEMENTS OF ALL LICENSED INSURANCE COMPANIES, CERTIFIED SELF-INSUREDS AND THE HAWAII JOINT UNDERWRITING PLAN (HJUP), INCLUDING ANNUAL PARTICIPATING AGREEMENTS OF THE HJUP.
(B) FOREIGN & ALIEN COMPANIES.
SA-1 DTD 10/16/98 ITEM C-8(B)
Retention: 1 year from end of reporting year.
Disposition: Retain in office for 1 year, then destroy.
- 431100-00011 PERIODIC FINANCIAL & OPERATING STATEMENTS OF ALL LICENSED INSURANCE COMPANIES, CERTIFIED SELF-INSUREDS AND THE HAWAII JOINT UNDERWRITING PLAN (HJUP), INCLUDING ANNUAL PARTICIPATING AGREEMENTS OF THE HJUP.
(C) PARTICIPATING AGREEMENTS.
SA-1 DTD 10/16/98 ITEM C-8(C)
Retention: 5 years after filing.
Disposition: Destroy after cited retention.
- 431100-00012 REPORTS OF EXAM & PERIODIC AUDITS OF INS CO, RATING ORGANIZATIONS, AGENCIES & ADJUSTMENT FIRMS (A) DOMESTIC COMPANIES.
SA-1 DTD 10/16/98 ITEM C-9(A)
Retention: Permanent.
Disposition: Records may be captured and stored on another lasting media (e.g., microfilm) as long as copy is able to satisfy retention requirements. Originals may be destroyed after microfilming.
- 431100-00013 REPORTS OF EXAM & PERIODIC AUDITS OF INS CO, RATING ORGANIZATIONS, AGENCIES & ADJUSTMENT FIRMS (B) FOREIGN & ALIEN COMPANIES & OTHERS.
SA-1 DTD 10/16/98 ITEM C-9(B)
Retention: 5 years from date of report.
Disposition: Destroy after cited retention.
- 431100-00014 WORKING PAPERS; SUPPORTING REPORTS OF EXAMINATIONS OF DOMESTIC INSURANCE COMPANIES, RATING ORGANIZATIONS, AGENCIES AND ADJUSTMENT FIRMS; USED TO SUPPORT FINAL REPORT & AS REFERENCE MEDIA FOR FUTURE EXAMINATIONS
SA-1 DTD 10/16/98 ITEM C-10
Retention: Non-permanent.
Disposition: Destroy when not administratively useful.

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**RECORD SERIES REPORT
DEPT. OF COMMERCE & CONSUMER AFFAIRS**

DEPARTMENT: 4311000000
DCCA INSURANCE

*RECORD
SERIES ID RECORD SERIES DESCRIPTION*

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- 431100-00015 ANNUAL PREMIUM TAX STATEMENTS REQUIRED TO BE FILED BY EACH LICENSED CO & SURPLUS LINE BROKER
A) DOMESTIC & SURPLUS LINE.
SA-1 DTD 10/16/98 ITEM C-11(A)
Retention: Permanent.
Disposition: Records may be captured and stored on another lasting media (e.g., microfilm) as long as copy is able to satisfy retention requirements. Originals may be destroyed after microfilming.
- 431100-00016 ANNUAL PREMIUM TAX STATEMENTS REQUIRED TO BE FILED BY EACH LICENSED CO & SURPLUS LINE BROKER
(B) OTHERS
SA-1 DTD 10/16/98 ITEM C-11(B)
Retention: 7 years after filing.
Disposition: Destroy after cited retention.
- 431100-00017 RECORDS OF HEARINGS, INVESTIGATIONS, LITIGATION, ARBITRATION & COMPLAINTS INCLUDING REPORTS, COPIES OF CORRESPONDENCE, MEMORANDA, INSURANCE POLICIES & OTHER SUPPORTING EVIDENCES, TRANSCRIPTS, FINDINGS & ORDERS
(A) HEARINGS & INVESTIGATIONS
SA-1 DTD 10/16/98 ITEM C-12(A)
Retention: Permanent.
Disposition: Records may be captured and stored on another lasting media (e.g., microfilm) as long as copy is able to satisfy retention requirements. Originals may be destroyed after microfilming.
- 431100-00018 RECORDS OF HEARINGS, INVESTIGATION, LITIGATION, ARBITRATION & COMPLAINTS INCLUDING REPORTS, COPIES OF CORRESPONDENCE, MEMORANDA, INSURANCE POLICIES & OTHER SUPPORTING EVIDENCES, TRANSCRIPTS, FINDINGS & ORDERS
(B) OTHERS.
SA-1 DTD 10/16/98 ITEM C-12(B)
Retention: 5 years after close of file.
Disposition: Destroy after cited retention.
- 431100-00019 PREMIUM RATE, RULE & CLASSIFICATION FILINGS BY INSURANCE COMPANIES.
SA-1 DTD 10/16/98 ITEM C-13
Retention: 5 years from date of revision.
Disposition: Destroy after cited retention.
- 431100-00020 INSURANCE POLICIES. INDIVIDUAL ACCIDENT & SICKNESS, WORKER'S COMPENSATION & OTHER POLICY FORMS REQUIRED TO BE FILED UNDER THE HAWAII INSURANCE LAW.
SA-1 DTD 10/16/98 ITEM C-14
Retention: 5 years from date of revision.
Disposition: Destroy after cited retention.
- 431100-00021 EXAMINATION ANSWER SHEETS, RESULTS OF EXAMINATION WITH ROSTER OF EXAMINEES
SA-1 DTD 10/16/98 ITEM C-15
Retention: 5 years after exam is given.
Disposition: Destroy after cited retention.

**RECORD SERIES REPORT
DEPT. OF COMMERCE & CONSUMER AFFAIRS**

DEPARTMENT: 4311000000
DCCA INSURANCE

*RECORD
SERIES ID RECORD SERIES DESCRIPTION*

431100-00022 COMMISSIONER'S COPY OF ALL HJUP APPLICATIONS & ENDORSEMENT
CHANGE REQUESTS.
SA-1 DTD 10/16/98 ITEM C-16
Retention: 2 years from close of file.
Disposition: Destroy after cited retention.

**RECORD SERIES REPORT
DEPT. OF COMMERCE & CONSUMER AFFAIRS**

DEPARTMENT: 4312000000
DCCA PROF & VOC LICENSING

RECORD

SERIES ID RECORD SERIES DESCRIPTION

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- 431200 DCCA PROF & VOC LICENSING DIV
431200-00001 D-1 EXAMINATIONS (A) USED TEST BOOKLETS, RESULTS OF EXAMINATIONS WITH ROSTER OF EXAMINEES
SA-1 DTD 10/16/98 ITEM D-1 (A)
Retention: 2 years after examination given.
Disposition: Destroy after cited retention.
- 431200-00002 D-1 EXAMINATIONS (B) MASTER EXAMINATIONS
SA-1 DTD 10/16/98 ITEM D-1 (B)
Retention: 5 years after examination given.
Disposition: Destroy after cited retention.
- 431200-00003 D-1 EXAMINATIONS (C) EXAMINATION ADMISSION IDENTIFICATION
SA-1 DTD 10/16/98 ITEM D-1 (C)
Retention: 6 months after results announced.
Disposition: Destroy after cited retention.
- 431200-00004 D-1 EXAMINATIONS (D) EXAMINATION RESULTS SUMMARY SHEETS
SA-1 DTD 10/16/98 ITEM D-1 (D)
Retention: 10 years after results announced.
Disposition: Destroy after cited retention.
- 431200-00005 D-2 REGISTRATION RECORDS (A) CONDOMINIUM FILES (1) CONDOMINIUM PROJECT FILES
SA-1 DTD 10/16/98 ITEM D-2 (A) (1)
Retention: 10 years from date of last public report.
Disposition: Retain in office for 5 years, then may transfer to State Records Center for remainder of retention period. Destroy after cited retention.
- 431200-00006 D-2 REGISTRATION RECORDS (A) CONDOMINIUM FILES (2) CONDOMINIUM PUBLIC REPORTS
SA-1 DTD 10/16/98 ITEM D-2 (A) (2).
Retention: 20 years from date of last public report.
Disposition: Retain in office for 10 years, then may transfer to State Records Center for remainder of retention period. Destroy after cited retention.
- 431200-00007 D-2 REGISTRATION RECORDS (B) SUBDIVISION FILES (1) SUBDIVISION PROJECT FILES.
SA-1 DTD 10/16/98 ITEM D-2 (B) (1)
Retention: 10 years from filing.
Disposition: Retain in office for 5 years, then may transfer to State Records Center for remainder of retention period. Destroy after cited retention.

**RECORD SERIES REPORT
DEPT. OF COMMERCE & CONSUMER AFFAIRS**

DEPARTMENT: 4312000000
DCCA PROF & VOC LICENSING

*RECORD
SERIES ID RECORD SERIES DESCRIPTION*

- 431200-00008 D-2 REGISTRATION RECORDS (B) SUBDIVISION FILES (2) APPLICATIONS FOR SUBDIVISION REGISTRATION
SA-1 DTD 10/16/98 ITEM D-2 (B) (2)
Retention: 20 years from filing.
Disposition: Retain in office for 10 years, then may transfer to State Records Center for remainder of retention period. Destroy after cited retention.
- 431200-00009 D-2 REGISTRATION RECORDS (C) TIME SHARE FILES (1) TIME SHARE PROJECT FILES.
SA-1 DTD 10/16/98 ITEM D-2 (C) (1)
Retention: 10 years from date of forfeiture.
Disposition: Retain in office for 5 years, then may transfer to State Records Center for remainder of retention period. Destroy after cited retention.
- 431200-00010 D-2 REGISTRATION RECORDS (C) TIME SHARE FILES (2) DEVELOPER APPLICATIONS FOR REGISTRATION OF TIME SHARE PLAN
SA-1 DTD 10/16/98 ITEM D-2 (C) (2)
Retention: 20 years from date of forfeiture.
Disposition: Retain in office for 10 years, then may transfer to State Records Center for remainder of retention period. Destroy after cited retention.
- 431200-00011 D-3 LICENSING RECORDS (A) APPLICATIONS (1) ORIGINAL LICENSE APPLICATIONS
SA-1 DTD 10/16/98 ITEM D-3 (A) (1)
Retention: 1 year after death of licensee or dissolution of licensed entity.
Disposition: Destroy after cited retention.
- 431200-00012 D-3 LICENSING RECORDS (A) APPLICATIONS (2) RENEWAL APPLICATIONS.
SA-1 DTD 10/16/98 ITEM D-3 (A) (2)
Retention: Retain until subsequent renewal application. received or subsequent renewal date has passed.
Disposition: Destroy after cited retention.
- 431200-00013 D-3 LICENSING RECORDS (A) APPLICATIONS (3) INCOMPLETE AND ABANDONED APPLICATIONS.
SA-1 DTD 10/16/98 ITEM D-3 (A) (3)
Retention: 2 years from the last date documents or information were requested.
Disposition: Destroy after cited retention.
- 431200-00014 D-3 LICENSING RECORDS (A) APPLICATIONS (4) APPLICANTS FAILING TO SATISFY EXAMINATION REQUIREMENTS.
SA-1 DTD 10/16/98 ITEM D-3 (A) (4)
Retention: 2 years after last effort made by applicant to satisfy examination requirement.
Disposition: Destroy after cited retention.
- 431200-00015 D-3 LICENSING RECORDS (B) LICENSE RECORD CARDS.
SA-1 DTD 10/16/98 ITEM D-3 (B)
Retention: Permanent.
Disposition: Records may be captured and stored on another lasting media (e.g., microfilm) as long as copy is able to satisfy retention requirements. May destroy hardcopy after microfilming.

**RECORD SERIES REPORT
DEPT. OF COMMERCE & CONSUMER AFFAIRS**

DEPARTMENT: 4312000000
DCCA PROF & VOC LICENSING

*RECORD
SERIES ID RECORD SERIES DESCRIPTION*

431200-00017 D-3 LICENSING RECORDS (C) LICENSEE FOLDERS (1) CURRENT
LICENSES.
SA-1 DTD 10/16/98 ITEM D-3 (C) (1)
Retention: 1 year after death of licensee or dissolution of licensed entity.
Disposition: Periodically purge and destroy superseded

431200-00018 D-3 LICENSING RECORDS (C) LICENSEE FOLDERS (2) FORFEITED
LICENSES.
SA-1 DTD 10/16/98 ITEM D-3 (C) (2)
Retention: 10 years from date of forfeiture of license.
Disposition: Retain in office for 5 years from date of forfeiture, then may transfer to State Records Center.
Destroy after cited retention.

431200-00020 D-4 CEMETERY & PRE-NEED FUNERAL AUTHORITIES ANNUAL AUDITED
FINANCIAL STATEMENT AND ACTUARY REPORT.
SA-1 DTD 10/16/98 ITEM D-4
Retention: 10 years from date report filed.
Disposition: Retain in office for 5 years, then may transfer to State Records Center.
Destroy after cited retention.

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**RECORD SERIES REPORT
DEPT. OF COMMERCE & CONSUMER AFFAIRS**

DEPARTMENT: 431500000
DCCA HAWAII HURRICANE RELIEF FUND

*RECORD
SERIES ID RECORD SERIES DESCRIPTION*

431500 DCCA HAWAII HURRICANE RELIEF FUND
431500-00001 SPECIAL MORTGAGE RECORDING FEE FORM AND SUPPORTING DOCUMENTS
SA-1 DATED 10/16/98 ITEM H-1
Retention: 5 years from date fees collected and recorded.
Disposition: May be microfilmed. Originals may be destroyed after microfilming.
Retain microfilm for remainder of retention period.

431500-00002 PREMIUM REFUND BACKUPS.
SA-1 DATED 10/16/98 ITEM H-2
Retention: 3 years if audited, otherwise 6 years.
Disposition: Retain in office for remainder of retention period, then destroy.