

# DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS

Approved Records Retention and Disposition Schedules (Forms SA-1)  
Compiled by the DAGS, Archives Division, Records Management Branch\*

## TABLE OF CONTENTS

<u>AGENCY</u>	<u>PAGE NO.</u>
OFFICE OF ADMINISTRATIVE HEARINGS.....	1 -2
OFFICE OF CONSUMER PROTECTION.....	3
BUSINESS REGISTRATION.....	4 - 16
CABLE TELEVISION DIVISION.....	17
DIVISION OF FINANCIAL INSTITUTIONS.....	18 - 20
INSURANCE DIVISION.....	21 - 26
INSURANCE DIVISION, HAWAII HURRICANE RELIEF FUND .....	27
REGULATED INDUSTRIES COMPLAINTS OFFICE.....	28
PROFESSIONAL & VOCATIONAL LICENSING.....	29 - 32
PUBLIC UTILITIES COMMISSION .....	33 - 36

\*RECORDS SERIES ID is for Records Management Branch use only.

**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS  
RECORDS SERIES REPORT**

**DEPARTMENT: 4303000000  
OFFICE OF ADMINISTRATIVE HEARINGS**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
430300-00001	MEDICAL CLAIM CONCILIATION PANEL FILES.	SA-1 DATED 9/28/1999. ITEM G-1.	1 year from close of file.	Retain in office for authorized retention period, then destroy.
430300-00002	DESIGN PROFESSIONAL CONCILIATION PANEL FILES.	SA-1 DATED 9/28/1999. ITEM G-2	1 year from close of file.	Retain in office for authorized retention period, then destroy.
430300-00003	<p>CONTESTED CASE FILES (A) FINAL ORDERS WITH SUPPORTING FINDINGS AND CONCLUSIONS regarding:</p> <ul style="list-style-type: none"> <li>• Motor Vehicle No-Fault Insurance</li> <li>• Regulated Industries and Business Registration Disciplinary Actions</li> <li>• Business Registration Tradename / Trademark and Similar Revocation Proceedings</li> <li>• Financial Institutions</li> <li>• Employees Retirement System</li> <li>• Employer-Union Trust</li> <li>• Hawaii Post-Secondary Education</li> <li>• Procurement Appeals</li> <li>• Public Utilities Commission</li> <li>• Professional Vocational License Denials</li> </ul> <p>Supersedes SA-1 DATED 9/28/1999, Items G-3(A), G-4 (A), and G-5 (A) and Records Series IDs: 430300-00003, 430300-00005, 430300-00007.</p>	SA-1 DATED 05/11/2020.	10 years after close of file.	Destroy after cited retention.

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**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS  
RECORDS SERIES REPORT**

**DEPARTMENT: 4303000000  
OFFICE OF ADMINISTRATIVE HEARINGS**

Records Series ID	Description	Schedule Information	Retention	Disposition
430300-00004	<p>CONTESTED CASE FILES (B) OTHER PLEADINGS, CORRESPONDENCE, EXHIBITS AND OTHER FILINGS, RECORDINGS regarding:</p> <ul style="list-style-type: none"> <li>• Motor Vehicle No-Fault Insurance</li> <li>• Regulated Industries and Business Registration Disciplinary Action</li> <li>• Business Registration Tradename / Trademark and Similar Revocation Proceedings</li> <li>• Financial Institutions</li> <li>• Employees Retirement System</li> <li>• Employer-Union Trust</li> <li>• Hawaii Post-Secondary Education</li> <li>• Procurement Appeals</li> <li>• Public Utilities Commission</li> <li>• Professional Vocational License Denials</li> </ul> <p>Supersedes SA-1 DATED 9/28/1999, Items G-3(B), G-4 (B), and G-5 (B) and Records Series IDs: 430300-00004, 430300-00006, 430300-00008.</p>	SA-1 DATED 05/11/2020.	1 year after close of file.	Destroy after cited retention.

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**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS  
RECORDS SERIES REPORT**

**DEPARTMENT: 4309000000  
OFFICE OF CONSUMER PROTECTION**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
430900-00001	OCP CASE RECORDS INDEX.	SA-1 DATED 10/16/1998, ITEM E-1 (SA-1 dated June 6, 1983, items h-1 1(a); h-1 1(b); h-1 (2); h-1 (3) are superseded.)	5 years from close of case.	Retain in office 5 years, then destroy.
430900-00002	CONSUMER COMPLAINT INVESTIGATION CASE RECORDS. Restrictions: Some files may be confidential per HRS 487-5(8).	SA-1 DATED 10/16/1998 ITEM E-2	5 years from close of case.	Retain in office for 5 years, then destroy.
430900-00003	LANDLORD-TENANT DISPUTE INVESTIGATION CASE RECORDS.	SA-1 DATED 10/16/1998 ITEM E-3	6 months from close of case.	Keep in office 6 months, then destroy.
430900-00004	LEGAL SECT RCDS (1) LEGAL SECTION CASE RECORDS.	SA-1 DATED 10/16/1998 ITEM E-4(A) (SA-1 dated June 6, 1983, item h-4(1) is superseded.)	5 years from close of case.	Retain in office 5 years, then destroy.
430900-00005	LEGAL SECT RCDS (2) ADVISORY OPINIONS.	SA-1 DATED 10/16/1998 ITEM E-4(B)	Permanent.	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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**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS  
RECORDS SERIES REPORT**

**DEPARTMENT: 4307000000  
BUSINESS REGISTRATION DIVISION**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
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 DATED 9/9/1999 ITEM B-1(A).	Permanent.	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 DATED 9/9/1999 ITEM B-1(B)(1).	10 years after withdrawal, cancellation, or merger.	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 DATED 9/9/1999 ITEM B-1(B)(2).	10 years after license expires.	May store at State Records Center. Destroy after cited retention.

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RECORDS SERIES REPORT**

**DEPARTMENT: 4307000000  
BUSINESS REGISTRATION DIVISION**

Records Series ID	Description	Schedule Information	Retention	Disposition
430700-00004	CORPORATION FILES (C) CORPORATION ANNUAL REPORTS, DOMESTIC & FOREIGN (1) PROFIT CORPORATION ANNUAL REPORTS.	SA-1 DATED 9/9/1999 ITEM B-1(C)(1).	Permanent.	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 DATED 9/9/1999 ITEM B-1(C)(2).	Permanent.	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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**DEPARTMENT: 4307000000  
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<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
430700-00006	CORPORATION FILES (C) CORPORATION ANNUAL REPORTS, DOMESTIC & FOREIGN (3) AGRICULTURE & FISHING CORPORATION ANNUAL REPORTS	SA-1 DATED 9/9/1999 ITEM B-1(C)(3).	Permanent.	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 DATED 9/9/1999 ITEM B-1(D).	2 years from service date.	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 DATED 9/9/1999 ITEM B-2(A).	Permanent.	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.

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RECORDS SERIES REPORT**

**DEPARTMENT: 4307000000  
BUSINESS REGISTRATION DIVISION**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
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 DATED 9/9/1999 ITEM B-2(B).	10 years after cancellation or revocation.	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 DATED 9/9/1999 ITEM B-2(C).	Permanent.	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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Records Series ID	Description	Schedule Information	Retention	Disposition
430700-00023	PARTNERSHIP FILES (A) PARTNERSHIP REGISTRATION STATEMENTS.	SA-1 DATED 9/9/1999 ITEM B-3(A).	Permanent.	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.
430700-00024	PARTNERSHIP FILES (B) PARTNERSHIP ADMISSION; WITHDRAWAL OR DEATH STATEMENTS; PARTNERSHIP DISSOLUTION; CHANGE OF NAME STATEMENTS; AND RELATED DOCUMENTS.	SA-1 DATED 9/9/1999 ITEM B-3(B).	Permanent.	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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RECORDS SERIES REPORT**

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430700-00025	PARTNERSHIP FILES (C) PARTNERSHIP ANNUAL STATEMENTS.	SA-1 DATED 9/9/1999 ITEM B-3(C).	Permanent.	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 DATED 9/9/1999 ITEM B-3(D).	Permanent.	When volume warrants, records may be captured and stored on other 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.

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<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
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 DATED 9/9/1999 ITEM B-4(A).	Permanent.	When volume warrants, records may be captured and stored on other 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 DATED 9/9/1999 ITEM B-4(B).	Permanent.	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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Records Series ID	Description	Schedule Information	Retention	Disposition
430700-00035	FILE ON TRADE NAMES, TRADEMARKS, PRINT LABELS (A) REGISTRATION APPLICATIONS.	SA-1 DATED 9/9/1999 ITEM B-5(A)	Permanent.	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 DATED 9/9/1999 B-5(B).	Permanent.	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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RECORDS SERIES REPORT**

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<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
430700-00037	FILES ON TRADE NAMES, TRADEMARKS, PRINTS LABELS (C) ASSIGNMENT OF APPLICATIONS.	SA-1 DATED 9/9/1999 ITEM B-5(C).	Permanent.	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 DATED 9/9/1999 ITEM B-6(A).	7 years after cancellation.	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 DATED 9/9/1999 ITEM B-6(B).	7 years after cancellation.	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 DATED 9/9/1999 ITEM B-6(C).	7 years after cancellation.	May transfer to State Records Center annually after cancellation. Destroy after cited retention.

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**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS  
RECORDS SERIES REPORT**

**DEPARTMENT: 4307000000  
BUSINESS REGISTRATION DIVISION**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
430700-00044	FILES ON SECURITIES (D) APPLICATIONS FOR REGISTRATION AS SECURITIES SALESMEN (NEW).	SA-1 DATED 9/9/1999 ITEM B-6(D).	7 years after cancellation.	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 DATED 9/9/1999 ITEM B-6(E).	7 years after cancellation.	May transfer to State Records Center annually after cancellation. Destroy after cited retention.
430700-00046	FILES ON SECURITIES (F) INVESTIGATION FILES.	SA-1 DATED 9/9/1999 ITEM B-6(F).	5 years from close of file.	Retain in office. Destroy after cited retention.
430700-00047	FILES ON SECURITIES (G) STUBS FOR DEALERS & SALESMEN.	SA-1 DATED 9/9/1999 ITEM B-6(G).	10 years after issuance.	Destroy after cited retention.
430700-00048	FILES ON SECURITIES (H) REGISTRATION OF SECURITIES BY COORDINATION.	SA-1 DATED 9/9/1999 ITEM B-6(H).	2 years from registration.	Destroy after cited retention.
430700-00049	FILES ON SECURITIES (I) STATEMENTS OF PROFESSIONAL SOLICITORS FOR CHARITABLE ORGANIZATIONS AND SUPPORTING DOCUMENTS.	SA-1 DATED 9/9/1999 ITEM B-6(I).	5 years from end of fiscal year filed.	Retain in office 2 years. May transfer to State Records Center for remainder of authorized retention period. Destroy after cited retention.

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RECORDS SERIES REPORT**

**DEPARTMENT: 4307000000  
BUSINESS REGISTRATION DIVISION**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
430700-00050	FILES ON SECURITIES (J) REGULATION "D" EXEMPT FILES.	SA-1 DATED 9/9/1999 ITEMB-6(J).	7 years from date of registration / filing or cancellation.	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 DATED 9/9/1999 ITEM B- 6(K)(1).	7 years from date of cancellation, termination, or expiration.	Retain in office for 1 year after date of cancellation, termination, or expiration, then may transfer to State Records Center. Destroy after cited retention.
430700-00052	FILES ON SECURITIES (K) INVESTMENT ADVISER FILES (2) RENEWAL FILES.	SA-1 DATED 9/9/1999 ITEM B- 6(K)(2).	7 years from filing.	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 DATED 9/9/1999 ITEM B- 6(L)(1).	7 years from date of cancellation, termination, or expiration.	Retain in office for 1 year after date of cancellation, termination, or expiration, then may transfer to State Records Center. Destroy after cited retention.

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RECORDS SERIES REPORT**

**DEPARTMENT: 4307000000  
BUSINESS REGISTRATION DIVISION**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
430700-00054	FILES ON SECURITIES (L) INVESTMENT ADVISER REPRESENTATIVE FILES (2) RENEWAL FILES.	SA-1 DATED 9/9/1999 ITEM B- 6(L)(2).	7 years from filing.	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 DATED 9/9/1999 ITEM B-6(M).	7 years from date of cancellation or expiration.	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 DATED 9/9/1999 ITEM B-7(A).	1 year after application.	Destroy after cited retention.
430700-00064	MISCELLANEOUS FILES (B) FRANCHISE FILES: REGISTRATIONS & SUPPORTING DOCUMENTS.	SA-1 DATED 9/9/1999 ITEM B-7(B).	7 years after termination or expiration of franchise.	Retain in office 2 years. May transfer to State Records Center for remainder of authorized retention. Destroy after cited retention.

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RECORDS SERIES REPORT**

**DEPARTMENT: 4307000000  
BUSINESS REGISTRATION DIVISION**

Records Series ID	Description	Schedule Information	Retention	Disposition
430700-00065	MISCELLANEOUS FILES (C) FOREIGN LENDER FILE.	SA-1 DATED 9/9/1999 ITEM B-7(C).	Permanent.	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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**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS  
RECORDS SERIES REPORT**

**DEPARTMENT: 4308000000  
CABLE TELEVISION DIVISION**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
430800-00001	CABLE FEES / REVENUE FILES.	SA-1 DATED 10/16/1998 ITEM I-1.	6 years from date of transfer (sale or merger) of ownership or close of operations.	May store at State Records Center. Destroy after cited retention.
430800-00002	FINANCIAL / TECHNICAL REPORTS.	SA-1 DATED 10/16/1998 ITEM I-2.	6 years from date of transfer (sale or merger) of ownership or close of operations.	May store at State Records Center. Destroy after cited retention.
430800-00003	APPLICATION, TRANSFER, RENEWAL, AND FRANCHISE FILES.	SA-1 DATED 10/16/1998 ITEM I-3.	6 years from date of transfer (sale or merger) of ownership or close of operations.	May store at State Records Center. Destroy after cited retention.
430800-00004	OPERATIONAL FILES.	SA-1 DATED 10/16/1998 ITEM I-4.	6 years from date of transfer (sale or merger) of ownership or close of operations.	May store at State Records Center. Destroy after cited retention.
430800-00005	PUBLIC, EDUCATION, & GOVERNMENT ACCESS FILES.	SA-1 DATED 10/16/1998 ITEM I-5.	Non-permanent.	Destroy when no longer needed for administrative purposes.

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**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS  
RECORDS SERIES REPORT**

**DEPARTMENT: 4306000000  
DIVISION OF FINANCIAL INSTITUTIONS**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
430600-00001	EXAMINATION RECORDS (A) EXAMINATION REPORTS OF BANKS, TRUST CO., SAVINGS & LOAN ASSOC., FINANCIAL SERVICES LOAN CO., AND CREDIT UNIONS	SA-1 DATED 10/16/1998. ITEM A-1(A).	10 years from year of examination.	Destroy after cited retention.
430600-00002	EXAMINATION RECORDS (B) WORKPAPERS DEVELOPED FROM ANNUAL FIELD EXAMS	SA-1 DATED 10/16/1998. ITEM A-1(B).	Non-permanent.	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 DATED 10/16/1998. ITEM A-2.	10 years from close of fiscal year filed.	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 DATED 10/16/1998. ITEM A-3(A).	Permanent.	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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RECORDS SERIES REPORT**

**DEPARTMENT: 4306000000  
DIVISION OF FINANCIAL INSTITUTIONS**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
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 DATED 10/16/1998. ITEM A-3(B).	Permanent.	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 DATED 10/16/1998. ITEM A-4.	3 years if audited, otherwise 6 years.	Destroy after cited retention.
430600-00007	AUDIT REPORTS OF ESCROW DEPOSITORIES AND FINANCIAL SERVICES LOAN COMPANIES INSURED BY THE FDIC.	SA-1 DATED 10/16/1998. ITEM A-5.	5 years after report received.	Destroy after cited retention.
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 DATED 10/16/1998. ITEM A-6.	5 years from date of notification to applicant that application is considered withdrawn, abandoned, or denied.	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 DATED 10/16/1998. ITEM A-7.	10 years from date of cancellation or revocation of license or nonrenewal of certificate of exemption.	Destroy after cited retention.

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**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS  
RECORDS SERIES REPORT**

**DEPARTMENT: 4306000000  
DIVISION OF FINANCIAL INSTITUTIONS**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
430600-00010	COMPLAINT FILES.	SA-1 DATED 10/16/1998 ITEM A-8.	3 years from date of complaint.	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 DATED 10/16/1998. ITEM A-9.	10 years after purchased by merged into, taken over by another licensee/company or completion of litigation action.	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 DATED 10/16/1998 ITEM A-10	10 years after expiration of coverage period.	May store at State Records Center. Destroy after cited retention.

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**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS  
RECORDS SERIES REPORT**

**DEPARTMENT: 4311000000  
INSURANCE DIVISION**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
431100-00001	NEW & RENEWAL LICENSE APPLICATIONS OF INSURANCE CO, GEN AGENTS, SUBAGENTS, SOLICITORS, NON-RESIDENT AGENTS, ADJUSTORS, SURPLUS LINE BROKERS & SELF-INSUREDS.	SA-1 DATED 10/16/1998 ITEM C-1.	5 years from date of license inactivity.	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 DATED 10/16/1998 ITEM C-2	5 years from date of license inactivity.	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 DATED 10/16/1998 ITEM C-3.	5 years from date of license inactivity.	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 DATED 10/16/1998 ITEM C-4	10 years after last active appointment.	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 DATED 10/16/1998 ITEM C-5	5 years from date of license inactivity.	Destroy after cited retention.

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**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS  
RECORDS SERIES REPORT**

**DEPARTMENT: 431100000  
INSURANCE DIVISION**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
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 DATED 10/16/1998 ITEM C-6(A)	Permanent.	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 DATED 10/16/1998 ITEM C-6(B)	5 years from date of license inactivity.	Destroy after cited retention.
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 DATED 10/16/1998 ITEM C-7	5 years after filing.	Destroy after cited retention.

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**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS  
RECORDS SERIES REPORT**

**DEPARTMENT: 431100000  
INSURANCE DIVISION**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
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 DATED 10/16/1998 ITEM C-8(A).	Permanent.	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 DATED 10/16/1998 ITEM C-8(B)	1 year from end of reporting year.	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 DATED 10/16/1998 ITEM C-8(C)	5 years after filing.	Destroy after cited retention.

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**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS  
RECORDS SERIES REPORT**

**DEPARTMENT: 4311000000  
INSURANCE DIVISION**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
431100-00012	REPORTS OF EXAM & PERIODIC AUDITS OF INS CO, RATING ORGANIZATIONS, AGENCIES & ADJUSTMENT FIRMS (A) DOMESTIC COMPANIES.	SA-1 DATED 10/16/1998 ITEM C-9(A)	Permanent.	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 DATED 10/16/1998 ITEM C-9(B)	5 years from date of report.	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 DATED 10/16/1998 ITEM C-10	Non-permanent.	Destroy when not administratively useful.
431100-00015	ANNUAL PREMIUM TAX STATEMENTS REQUIRED TO BE FILED BY EACH LICENSED CO & SURPLUS LINE BROKER A) DOMESTIC & SURPLUS LINE.	SA-1 DATED 10/16/1998 ITEM C-11(A)	Permanent.	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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**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS  
RECORDS SERIES REPORT**

**DEPARTMENT: 431100000  
INSURANCE DIVISION**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
431100-00016	ANNUAL PREMIUM TAX STATEMENTS REQUIRED TO BE FILED BY EACH LICENSED CO & SURPLUS LINE BROKER (B) OTHERS.	SA-1 DATED 10/16/1998 ITEM C-11(B)	7 years after filing.	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 DATED 10/16/1998 ITEM C-12(A)	Permanent.	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 DATED 10/16/1998 ITEM C-12(B)	5 years after close of file.	Destroy after cited retention.
431100-00019	PREMIUM RATE, RULE & CLASSIFICATION FILINGS BY INSURANCE COMPANIES.	SA-1 DATED 10/16/1998 ITEM C-13	5 years from date of revision.	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 DATED 10/16/1998 ITEM C-14	5 years from date of revision.	Destroy after cited retention.
431100-00021	EXAMINATION ANSWER SHEETS, RESULTS OF EXAMINATION WITH ROSTER OF EXAMINEES.	SA-1 DATED 10/16/1998 ITEM C-15	5 years after exam is given.	Destroy after cited retention.

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**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS  
RECORDS SERIES REPORT**

**DEPARTMENT: 4311000000  
INSURANCE DIVISION**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
431100-00022	COMMISSIONER'S COPY OF ALL HJUP APPLICATIONS & ENDORSEMENT CHANGE REQUESTS.	SA-1 DATED 10/16/98 ITEM C-16	2 years from close of file.	Destroy after cited retention.

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**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS  
RECORDS SERIES REPORT**

**DEPARTMENT: 431500000  
INSURANCE DIVISION, HAWAII HURRICANE RELIEF FUND**

Records Series ID	Description	Schedule Information	Retention	Disposition
431500-00001	SPECIAL MORTGAGE RECORDING FEE FORM AND SUPPORTING DOCUMENTS.	SA-1 DATED 10/16/1998 ITEM H-1	5 years from date fees collected and recorded.	May be microfilmed. Originals may be destroyed after microfilming. Retain microfilm for remainder of retention period.
431500-00002	PREMIUM REFUND BACKUPS.	SA-1 DATED 10/16/1998 ITEM H-2	3 years if audited, otherwise 6 years.	Retain in office for remainder of retention period, then destroy.

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**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS  
RECORDS SERIES REPORT**

**DEPARTMENT: 4302000000  
REGULATED INDUSTRIES COMPLAINTS OFFICE**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule information</b>	<b>Retention</b>	<b>Disposition</b>
430200-00001	F-1 COMPLAINT CASE FILES (A) CASES WITH NO LEGAL ACTION.	SA-1 DATED 8/8/2001 ITEM F-1 (A)	5 years from end of calendar year of case disposition date.	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 DATED 8/8/2001 ITEM F-1 (B) (1)	Until no longer needed for enforcement information purposes.	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 DATED 8/8/2001 ITEM F-1 (B) (2)	5 years from end of calendar year of compliance date.	Retain in office. Purge from files after cited retention.

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**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS  
RECORDS SERIES REPORT**

**DEPARTMENT: 4312000000  
PROFESSIONAL & VOCATIONAL LICENSING DIVISION**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
431200-00001	D-1 EXAMINATIONS (A) USED TEST BOOKLETS, RESULTS OF EXAMINATIONS WITH ROSTER OF EXAMINEES.	SA-1 DATED 10/16/1998 ITEM D-1 (A)	2 years after examination given.	Destroy after cited retention.
431200-00002	D-1 EXAMINATIONS (B) MASTER EXAMINATIONS.	SA-1 DATED 10/16/1998 ITEM D-1 (B)	5 years after examination given.	Destroy after cited retention.
431200-00003	D-1 EXAMINATIONS (C) EXAMINATION ADMISSION IDENTIFICATION.	SA-1 DATED 10/16/1998 ITEM D-1 (C)	6 months after results announced.	Destroy after cited retention.
431200-00004	D-1 EXAMINATIONS (D) EXAMINATION RESULTS SUMMARY SHEETS	SA-1 DATED 10/16/1998 ITEM D-1 (D)	10 years after results announced.	Destroy after cited retention.
431200-00005	D-2 REGISTRATION RECORDS (A) CONDOMINIUM FILES (1) CONDOMINIUM PROJECT FILES.	SA-1 DATED 10/16/1998 ITEM D-2 (A) (1)	10 years from date of last public report.	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 DATED 10/05/2018.	60 years from date of last public report.	Retain in office for 10 years, then may transfer to State Records Center for remainder of retention period. Destroy after cited retention.
431200-00016	D-2 REGISTRATION RECORDS (A) CONDOMINIUM FILES (3) REGISTRATION APPLICATIONS - INCOMPLETE	SA-1 DATED 05/11/2020.	8 months from date received.	Destroy after cited retention.

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**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS  
RECORDS SERIES REPORT**

**DEPARTMENT: 4312000000  
PROFESSIONAL & VOCATIONAL LICENSING DIVISION**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
431200-00007	D-2 REGISTRATION RECORDS (B) SUBDIVISION FILES (1) SUBDIVISION PROJECT FILES.	SA-1 DATED 10/16/98 ITEM D-2 (B) (1).	10 years from filing.	Retain in office for 5 years, then may transfer to State Records Center for remainder of retention period. Destroy after cited retention.
431200-00008	D-2 REGISTRATION RECORDS (B) SUBDIVISION FILES (2) APPLICATIONS FOR SUBDIVISION REGISTRATION.	SA-1 DATED 10/16/1998 ITEM D-2 (B) (2)	20 years from filing.	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 DATED 10/16/1998 ITEM D-2 (C) (1)	10 years from date of forfeiture.	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 DATED 10/16/1998 ITEM D-2 (C) (2)	20 years from date of forfeiture.	Retain in office for 10 years, then may transfer to State Records Center for remainder of retention period. Destroy after cited retention.

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**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS  
RECORDS SERIES REPORT**

**DEPARTMENT: 4312000000  
PROFESSIONAL & VOCATIONAL LICENSING DIVISION**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
431200-00011	D-3 LICENSING RECORDS (A) APPLICATIONS (1) ORIGINAL LICENSE APPLICATIONS.	SA-1 DATED 10/16/1998 ITEM D-3 (A) (1)	1 year after death of licensee or dissolution of licensed entity.	Destroy after cited retention.
431200-00012	D-3 LICENSING RECORDS (A) APPLICATIONS (2) RENEWAL APPLICATIONS.	SA-1 DATED 10/16/1998 ITEM D-3 (A) (2)	Retain until subsequent renewal application received or subsequent renewal date has passed.	Destroy after cited retention.
431200-00013	D-3 LICENSING RECORDS (A) APPLICATIONS (3) INCOMPLETE AND ABANDONED APPLICATIONS.	SA-1 DATED 10/16/1998 ITEM D-3 (A) (3)	2 years from the last date documents or information were requested.	Destroy after cited retention.
431200-00014	D-3 LICENSING RECORDS (A) APPLICATIONS (4) APPLICANTS FAILING TO SATISFY EXAMINATION REQUIREMENTS.	SA-1 DATED 10/16/1998 ITEM D-3 (A) (4)	2 years after last effort made by applicant to satisfy examination requirement.	Destroy after cited retention.
431200-00015	D-3 LICENSING RECORDS (B) LICENSE RECORD CARDS.	SA-1 DATED 10/16/1998 ITEM D-3 (B)	Permanent.	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.

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**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS  
RECORDS SERIES REPORT**

**DEPARTMENT: 4312000000  
PROFESSIONAL & VOCATIONAL LICENSING DIVISION**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
431200-00017	D-3 LICENSING RECORDS (C) LICENSEE FOLDERS (1) CURRENT LICENSES.	SA-1 DATED 10/16/1998 ITEM D-3 (C) (1)	1 year after death of licensee or dissolution of licensed entity.	Periodically purge and destroy superseded
431200-00018	D-3 LICENSING RECORDS (C) LICENSEE FOLDERS (2) FORFEITED LICENSES.	SA-1 DATED 10/16/1998 ITEM D-3 (C) (2)	10 years from date of forfeiture of license.	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 DATED 10/16/98 ITEM D-4	10 years from date report filed.	Retain in office for 5 years, then may transfer to State Records Center. Destroy after cited retention.

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**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS  
RECORDS SERIES REPORT**

**DEPARTMENT: 5312000000  
PUBLIC UTILITIES COMMISSION**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
531200-00002	COMMISSION DECISION & ORDER FILE/REGISTRY.	SA-1 DATED 12/3/1979, ITEM 2	Permanent.	Permanent.
531200-00003	RULES & REGULATIONS OF COMMISSION.	SA-1 DATED 12/3/1979, ITEM 3	Permanent. (See: GRS 1, 2002 Item 1.5)	Permanent.
531200-00004	AUTHORIZED DEVIATIONS FROM RULES & REGULATIONS.	SA-1 DATED 12/3/1979, ITEM 4	Permanent.	Permanent.
531200-00005	COMMISSION DOCKETS ON UTILITIES AND TRANSPORTATION COMPANIES (APPLICATIONS AND OFFICIAL DOCKET FILE).	SA-1 DATED 12/3/1979, ITEM 5	Microfilm after 10 years & destroy.	
531200-00006	CORRESPONDENCE (A) GENERAL CORRESPONDENCE OF THE COMMISSION CONCERNING THE POLICIES; ADMINISTRATION; OPERATIONS; ORDER; DIRECTIVES; FRANCHISES, INTERPRETATIONS OF GENERAL ORDERS, DECLARATORY RULINGS; INFORMAL OPINIONS RENDERED, LEGAL OPINIONS, ETC.	SA-1 DATED 12/3/1979, ITEM 6A	Permanent. (See: GRS 1, 2002, Item 1.2a)	Permanent.
531200-00007	CORRESPONDENCE (B) GENERAL CORRESPONDENCE & RELATED RECORDS CONCERNING THE IMPLEMENTATION OF DEPARTMENTAL & COMMISSION POLICIES, RULES AND PROCEDURES (INTERNAL MATTERS).	SA-1 DATED 12/3/1979, ITEM 6B	10 years. (See: GRS 1, 2002, Item 1.2b)	Destroy after cited retention.

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**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS  
RECORDS SERIES REPORT**

**DEPARTMENT: 5312000000  
PUBLIC UTILITIES COMMISSION**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
531200-00008	CORRESPONDENCE (C) GENERAL CORRESPONDENCE OF THE COMMISSION CONCERNING ROUTINE ACTIVITIES & REQUEST FOR INFORMATION WHICH DO NOT INVOLVE POLICY DETERMINATION OR GOVERNMENT LIABILITY.	SA-1 DATED 12/3/1979 ITEM 6C	1 year. (See: GRS 1, 2002, Item 1.3a)	Destroy after cited retention.
531200-00010	REPORTS (A) COMMISSION'S ANNUAL REPORT.	SA-1 DATED 12/3/1979, ITEM 7A	Permanent.	Permanent.
531200-00012	REPORTS (C) SPECIAL REPORTS PREPARED BY COMMISSION STAFF.	SA-1 DATED 12/3/1979, ITEM 7C	Permanent.	Permanent.
531200-00013	REPORTS (D) SPECIAL REPORTS SUBMITTED TO COMMISSION.	SA-1 DATED 12/3/1979, ITEM 7D	Permanent.	Permanent.
531200-00014	REPORTS (E) UTILITY ACCIDENT REPORTS FILED WITH COMMISSION.	SA-1 DATED 12/3/1979, ITEM 7E	5 years.	Destroy after cited retention.
531200-00015	REPORTS (F) REPORTS ON FATAL UTILITY ACCIDENTS.	SA-1 DATED 12/3/1979, ITEM 7F	Permanent.	Permanent.
531200-00030	REPORTS (G) FINANCIAL REPORTS FOR PUBLIC UTILITIES (1) MONTHLY.	SA-1 DATED 12/3/1979, ITEM 7G(1)	2 years.	Destroy after cited retention.
531200-00017	REPORTS (G) FINANCIAL REPORTS FOR PUBLIC UTILITIES (2) ANNUAL.	SA-1 DATED 12/3/1979, ITEM 7G(2)	Permanent.	Transfer to Archives In 5 years.
531200-00018	PRINTED ANNUAL REPORTS FOR PUBLIC UTILITIES COMPANIES FILED WITH COMMISSION FOR INFORMATION.	SA-1 DATED 12/3/1979, ITEM 7H	Permanent.	Transfer to Archives In 5 years.

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**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS  
RECORDS SERIES REPORT**

**DEPARTMENT: 5312000000  
PUBLIC UTILITIES COMMISSION**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
531200-00031	REPORTS (I) FINANCIAL REPORTS FOR TRANSPORTATION COMPANIES (1) MONTHLY.	SA-1 DATED 12/3/1979, ITEM 7I(1)	Retain until annual report filed.	Destroy after cited retention.
531200-00019	REPORTS (I) FINANCIAL REPORTS FOR TRANSPORTATION COMPANIES (2) ANNUAL.	SA-1 DATED 12/3/1979, ITEM 7I(2)	5 years.	Destroy after cited retention.
531200-00020	INFORMAL RESEARCHES, ANALYSES, STUDIES, PROBES, INQUIRIES, INVESTIGATIONS DIRECTED BY COMMISSION.	SA-1 DATED 12/3/1979, ITEM 8	5 years.	Destroy after cited retention.
531200-00021	COPIES OF PUBLIC UTILITIES AND TRANSPORTATION COMPANIES STATE AND FEDERAL TAX RETURNS.	SA-1 DATED 12/3/1979, ITEM 9	5 years.	Destroy after cited retention.
531200-00022	REAL PROPERTY TAX EXEMPTIONS CLAIMS FOR PUBLIC UTILITIES COMPANIES.	SA-1 DATED 12/3/1979, ITEM 10	5 years.	Destroy after cited retention.
531200-00023	RECORDS PERTAINING TO PUBLIC UTILITIES COMPANIES WHICH ARE DEFUNCT OR REMOVED FROM PUC JURISDICTION AND/OR REGULATION BY LEGISLATIVE ACTION.	SA-1 DATED 12/3/1979, ITEM 11	Permanent.	Transfer to Archives 5 years after inactive.
531200-00024	RECORDS PERTAINING TO COMPANIES, OTHER THAN PUBLIC UTILITIES WHICH ARE DEFUNCT OR REMOVED FROM PUC JURISDICTION AND / OR REGULATION BY LEGISLATIVE ACTION.	SA-1 DATED 12/3/1979, ITEM 12	5 years.	Destroy after cited retention.
531200-00025	MOTOR CARRIER CARGO INSURANCE CERTIFICATE (MCB-8).	SA-1 DATED 12/3/1979, ITEM 13	Retain current record only.	Destroy after cited retention.

\*RECORDS SERIES ID is for Records Management Branch use only.

**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS  
RECORDS SERIES REPORT**

**DEPARTMENT: 531200000  
PUBLIC UTILITIES COMMISSION**

<b>Records Series ID</b>	<b>Description</b>	<b>Schedule Information</b>	<b>Retention</b>	<b>Disposition</b>
531200-00026	MOTOR CARRIER CARGO INSURANCE ENDORSEMENT (MCB-9).	SA-1 DATED 12/3/1979, ITEM 14	Retain current record only.	Destroy after cited retention.
531200-00027	NOTICE OF CANCELLATION OF MOTOR CARRIER INSURANCE POLICY.	SA-1 DATED 12/3/1979, ITEM 15	Retain current record only.	Destroy after cited retention.
531200-00028	MOTOR CARRIER CERTIFICATE OF INSURANCE (WC3539).	SA-1 DATED 12/3/1979, ITEM 16	Retain current record only.	Destroy after cited retention.
531200-00029	MOTOR CARRIER INSURANCE ENDORSEMENT (WC3538).	SA-1 DATED 12/3/1979, ITEM 17	Retain current record only.	Destroy after cited retention.

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