

100-RICR-50-20-47

TITLE 100 – DEPARTMENT OF STATE

CHAPTER 50 – PUBLIC RECORDS ADMINISTRATION

SUBCHAPTER 20 – AGENCY SPECIFIC RECORDS RETENTION SCHEDULES

PART 14 – DBR: DEPARTMENT OF BUSINESS REGULATION

14.1 Securities Division

DBR1.1 Broker-Dealer Documents

Registrations/Applications submitted to division by those applying to be a broker-dealer in Rhode Island.

A. Hard Copy-Forms 301 and 301A

Application forms submitted to DBR prior to 1983 when registration was a state function.

Retention: Shred now.

Note: Function ceased in 1983.

B. Current Registration Record

Beginning in 1983, these registrations are submitted through the Central Registration Depository (“CRD”) computer system and maintained by the National Association of Securities Dealers (NASD). DBR has only approval function which is accomplished electronically.

Retention: Record held by NASD.

DBR1.2 CRD Conversion Books

Alphabetical list of securities dealers and individuals which were not converted to the CRD computer system that was implemented in 1983, due to their leaving the securities business prior to the conversion. Records have not been created since 1983 and include the individual’s name, corporate name, social security number, CRD number and firm identification.

Retention: Destroy in 2034.

DBR1.3 Broker (salesperson) Registration Cards

This record of registration includes individual's name and address, employing broker and registration and renewal date.

A. Hard copy-yellow card

Retention: Destroy in 2034.

Note: Superseded by CRD record below since 1983.

B. Current Registration Record

Contained as part of the CRD computer system.

Retention: Record held by NASD.

14.2 Banking Division

DBR2.1 Applications to Board of Bank Incorporation and the Director of Department of Business Regulation

Applications and requests to Board of Bank Incorporation and the Director for new bank or credit union charter, charter amendments, by-law amendments, establishment of branches, branch relocations, mergers and acquisitions, purchase of assets and assumption of liabilities, change of control, automated teller machines, and voluntary liquidations. Files contain documentation to support decisions rendered. (Decisions can be found in active charter file.)

Retention: Permanent.

DBR2.2 Active Charters-Regulated Institutions

Records provide documented evidence of a regulated bank or credit union's authority to conduct business. File includes but is not limited to original charter with related decision and orders and copies of approvals and/or decisions and orders relative to requests for branches, ATM's, charter amendments, by-law amendments, change in control, and mergers

and acquisition, bond, and by-laws for active regulated banks and credit unions.

Retention: Maintain until charter surrendered, then transfer to surrendered or revoked charter file.

DBR2.3 Surrendered or Revoked Charters- Regulated Institutions

Records provide documented evidence of a regulated bank or credit union's authority to conduct business. File includes but is not limited to original charter with related decision and orders and copies of approvals and/or decisions and orders relative to requests for branches, ATM's, charter amendments, by-law amendments change in control, and mergers and acquisition, bond, and by-laws for regulated banks and credit unions that have either closed, converted to a federal charter, merged with another institution, surrendered their charter or liquidated.

Retention: Permanent.

14.3 Racing and Athletics Division

14.3.1 Jai Alai

DBR3.1.1 Playing Dates Requests

Yearly letter from Jai Alai Fronton requesting playing dates for the following year. File may include but is not limited to request letter, hearing transcripts and all documents entered into evidence, including Fronton's annual audit report and the decision/order issued by the director approving the proposed schedule.

Retention: Retain seven (7) years.

DBR3.1.2 Active Occupation Licenses

License applications for all employees of the Fronton, including but not limited to vendors, inactive judges, players and managers. File includes original application, BCI cards and BCI reports, all annual renewal applications, subsequent BCI reports, correspondence, copies of licenses, badge information, and related administrative decisions and orders (most often related to player suspensions and/or fines).

Retention: Retain until license surrendered or revoked, then transfer to occupation licenses.

DBR3.1.3 Inactive Occupation Licenses

License applications for all employees of the Fronton, including but not limited to vendors, inactive judges, players and managers. File includes original application, BCI cards and BCI reports, all annual renewal applications, subsequent BCI reports, correspondence, copies of licenses, badge information, and related administrative decisions and orders (most often related to player suspensions and/or fines).

Retention: Retain ten (10) years.

14.3.2 Dog Racing

DBR3.2.1 Playing Dates Requests

Yearly letter from Dog Racing Facilities requesting playing dates for the following year. File may include but is not limited to request letter, hearing transcripts and all documents entered into evidence, and the decision/order issued by the director approving the proposed schedule.

Retention: Retain seven (7) years.

DBR3.2.2 Active Occupation Licenses

License applications for all employees of the Dog Racing Facility, including but not limited to vendors, judges, trainers and managers, and dog registrations. File includes original application, BCI cards and BCI reports, all annual renewal applications, subsequent BCI reports, correspondence, copies of licenses badge information, related administrative decisions and orders.

Retention: Retain until license surrendered or revoked, then transfer to inactive occupation licenses.

Retention: Retain ten (10) years.

14.6 Central Management

14.6.3 Legal Division

DBR6.3.10 Litigation Files

All files and materials regarding ongoing, threatened, or proposed civil or criminal litigation. Files do not include administrative appeals, but may include cases where Department employees have been subpoenaed to testify in cases not directly involving the Department.

Retention: Retain ten (10) years from final resolution.

DBR6.3.11 Labor and Employment

DBR6.3.11.1 Personnel Grievance Case Files

Documents relating to grievances filed by department employees. File may include but is not limited to correspondence, memos, legal motions, opinion, termination notices, grievance forms, complaint forms, and arbitration awards.

Retention: Retain file ten (10) years from final resolution.

Retain all arbitration decisions permanently.

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TITLE 100 - DEPARTMENT OF STATE

CHAPTER 10 - ADMINISTRATION

SUBCHAPTER 00 - N/A

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Department of State

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Department of State Date

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