



Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and Professional Registration

Section:

Division: Insurance Company Regulation Division

Sub-Section:

TITLE: Application for Admission

CUTOFF: Close of last policy issued

DESCRIPTION: Insurance companies must be licensed to conduct business in the State of Missouri. Records include, but are not limited to, applications for licensure for insurance companies based in Missouri (domestic) or outside Missouri (foreign and alien). Records kept per 374.070.3 and 374.070.4 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES: See series 22622, 22623, and 24085 for renewal documentation.

DISPOSITION ACTION: Permanent - Transfer to Missouri State Archives

SERIES: 22626

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015

TITLE: Audit Guide and Analysis Files

CUTOFF: EOY in which transaction concluded

DESCRIPTION: Work papers produced from financial analysis relating to annual and quarterly reviews of domestic (in-state), foreign (out-of-state), and alien (out-of-country) insurance companies' financial statements including Forms B and C. Records created per 20 CSR 200-11.101 and kept per 374.070.3 and 374.070.4 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22649

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015

TITLE: Audit Reports - Surplus Line Insurers

CUTOFF: EOY in which audit completed

DESCRIPTION: Surplus lines are risks related to an unusual type of coverage not provided under regular insurance policies. Records include, but are not limited to, department examination records of producer surplus line businesses. Records kept per 374.070.3 and 374.070.4 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22629

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015



Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and Professional Registration

Section:

Division: Insurance Company Regulation Division

Sub-Section:

TITLE: Certificate of Authority License Files - Alien

CUTOFF:EOCY in which transaction concluded

DESCRIPTION: Licensure renewal documents for alien (out-of-country) insurers which allow companies to conduct business in the State of Missouri. Records include the annual renewal documents for certificates of authority. Alien companies are required to provide a certified copy of their certificate of authority from their country of domicile. Records kept per 374.070.4 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES: See series 22626 for Applications for Admission.

DISPOSITION ACTION: Destroy

SERIES: 24085

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015

TITLE: Certificate of Authority License Files - Domestic

CUTOFF:Close of last policy issued

DESCRIPTION: Licensure renewal documents for domestic (in-state) insurers which allow companies to conduct business in the State of Missouri. Records include the annual renewal documents for certificates of authority. Records kept per 374.070.3 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES: See series 22626 for Applications for Admission.

DISPOSITION ACTION: Permanent - Transfer to Missouri State Archives

SERIES: 22622

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015

TITLE: Certificate of Authority License Files - Foreign

CUTOFF:EOCY in which transaction concluded

DESCRIPTION: Licensure renewal documents for foreign (out-of-state) insurers which allow companies to conduct business in the State of Missouri. Records include the annual renewal documents for certificates of authority. Foreign companies are required to provide a certified copy of their certificate of authority from their state of domicile. Records kept per 374.070.4 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES: See series 22626 for Applications for Admission.

DISPOSITION ACTION: Destroy

SERIES: 22623

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015



Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and Professional Registration

Section:

Division: Insurance Company Regulation Division

Sub-Section:

TITLE: Certification Reports

CUTOFF: EOY in which transaction concluded

DESCRIPTION: Reports produced by the Department of Insurance, Financial Institutions and Professional Registration that are provided to the State Treasurer, the Department of Revenue and/or the Division of Workers' Compensation which reflect the certified tax liabilities of individual domestic (in-state), foreign (out-of-state), and alien (out-of-country) insurance companies. Records kept per 374.070.3 and 374.070.4 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22640

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015

TITLE: Change Letters

CUTOFF: EOY in which transaction concluded

DESCRIPTION: Letters produced by the Department of Insurance, Financial Institutions and Professional Registration that are provided to the State Treasurer, the Department of Revenue and/or the Division of Workers' Compensation to recertify tax amounts for insurance companies for a calendar year. Records kept per 374.070.3 and 374.070.4 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES: Certified premium tax amounts are assessed and paid by individual companies.

DISPOSITION ACTION: Destroy

SERIES: 22639

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015



Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and Professional Registration

Section:

Division: Insurance Company Regulation Division

Sub-Section:

TITLE: Chief Financial Examiner Correspondence

CUTOFF: EOY in which transaction concluded

DESCRIPTION: Chief Financial Examiner correspondence with domestic (in-state), foreign (out-of-state), and alien (out-of-country) companies. Records include, but are not limited to, all correspondence received from domestic, foreign, and alien insurance companies related to financial regulation including foreign exam reports, actuary letters, address changes, listings of officers and directors, failure to file and delinquency notices, and requests for extensions to filing deadlines or exemptions from regulatory filing requirements. Records created per 374.205 RSMo. and kept per 374.070.3 and 374.070.4 RSMo.

RETENTION: Years: 7 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22627

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015

TITLE: Company Counts Reports

CUTOFF: EOY in which reports produced

DESCRIPTION: Reports produced periodically by the Department of Insurance, Financial Institutions and Professional Registration reflecting the number of insurance companies licensed and authorized to conduct insurance business in the State of Missouri. Records kept per 374.070.3 and 374.070.4 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES: Reports are organized by state of domicile and business type.

DISPOSITION ACTION: Destroy

SERIES: 22638

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015



Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and Professional Registration

Section:

Division: Insurance Company Regulation Division

Sub-Section:

TITLE: Company Organization Information - Alien

CUTOFF: EOY in which transaction concluded

DESCRIPTION: Alien (out-of-country) company articles and by-laws including information regarding amendments, service of process, name changes, redomestications, mergers, adding and withdrawing lines of authority, withdraws, revocations, and suspensions. Records kept per 374.070.4 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION:

SERIES: 24086

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015

TITLE: Company Organization Information - Domestic

CUTOFF: Close of last policy issued

DESCRIPTION: Domestic (in-state) company articles and by-laws including information regarding amendments, service of process, name changes, redomestications, mergers, adding and withdrawing lines of authority, withdraws, revocations, and suspensions. Records kept per 374.070.3 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22624

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015

TITLE: Company Organization Information - Foreign

CUTOFF: EOY in which transaction concluded

DESCRIPTION: Foreign (out-of-state) company articles and by-laws including information regarding amendments, service of process, name changes, redomestications, mergers, adding and withdrawing lines of authority, withdraws, revocations, and suspensions. Records kept per 374.070.4 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22625

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015



Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and Professional Registration

Section:

Division: Insurance Company Regulation Division

Sub-Section:

TITLE: Company Standing and Identity Records

CUTOFF: EOY in which transaction concluded

DESCRIPTION: Information concerning companies' standing and identity for use in all aspects of company regulation. Records include, but are not limited to, Third Party Administrator financial statements, organizational documents, Secretary of State certificates of good standing, fidelity bonds, biographical affidavits, life care financial statements, managing general agent applications, appointments, reinsurance intermediary applications, service contract provider applications, motor vehicle extended service contracts, and vehicle protection product applications. Records kept per 374.070.3 RSMo.

RETENTION: Years: 7 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22651

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015

TITLE: Examination Reports - Domestic

CUTOFF: Close of last policy issued

DESCRIPTION: Financial examination reports on domestic (in-state) companies. Examinations are statutorily required to be conducted on each domestic insurer at least once every five years, or more frequently as determined by the Department of Insurance, Financial Institutions and Professional Registration. Records created per 374.205 RSMo.

RETENTION: Years: 20 Months: 0 Days: 0

NOTES: Records are organized by year, then by company. Foreign and alien company examination reports are kept in their respective states and countries.

DISPOSITION ACTION: Destroy

SERIES: 22646

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015



Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and Professional Registration

Section:

Division: Insurance Company Regulation Division

Sub-Section:

TITLE: Examination Working Papers

CUTOFF: EOY in which transaction concluded

DESCRIPTION: Documents produced by examiners during their examination of an insurance company. Records include, but are not limited to, actuarial billings charged to the examined company and warrants providing examination authority. Per 374.205 RSMo., examinations are statutorily required to be conducted on each domestic (in-state) insurer at least once every five years, or more frequently as determined by the Division of Insurance Company Regulation. Records created per 374.205 RSMo. and kept per 374.070.3 RSMo.

RETENTION: Years: 7 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22645

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015

TITLE: Financial Statements - Alien

CUTOFF: EOY in which transaction concluded

DESCRIPTION: Annual and quarterly financial statements pertaining to alien (out-of-country) companies including authorized reinsurers and suspended alien companies. Records include, but are not limited to, alien consolidated financial statements and related jurat pages, certificates of deposit, deeds of trust, market value of securities, requests, and certificates of valuation. Records kept per 374.070.4 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 24087

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015



Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and Professional Registration

Section:

Division: Insurance Company Regulation Division

Sub-Section:

TITLE: Financial Statements - Domestic

CUTOFF: Close of last policy issued

DESCRIPTION: Annual and quarterly financial statements pertaining to domestic (in-state) and farm mutual companies. Records include, but are not limited to, related supplemental exhibits, certified public accountant reports, management correspondence and analysis, and certificates of valuation statements. Records kept per 374.070.3 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES: Records are organized by year, then by company.

DISPOSITION ACTION: Destroy

SERIES: 22643

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015

TITLE: Financial Statements - Foreign

CUTOFF: EOY in which transaction concluded

DESCRIPTION: Annual and quarterly financial statements pertaining to foreign (out-of-state) companies including authorized reinsurers and suspended foreign companies. Records include, but are not limited to, foreign consolidated financial statements and related jurat pages, certificates of deposit, deeds of trust, market value of securities, requests, and certificates of valuation. Records kept per 374.070.4 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22644

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015



Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and Professional Registration

Section:

Division: Insurance Company Regulation Division

Sub-Section:

TITLE: Missouri Premium Product Reports

CUTOFF:EOCY in which transaction concluded

DESCRIPTION: Records include, but are not limited to, detailed listings of risk located in Missouri and the producers responsible for the reporting and payment of tax. Reports are produced and submitted annually by surplus lines insurance companies that are approved to write insurance business in the State of Missouri. These reports are audited by the department against the producer's tax records to verify all premiums have been reported to the Department of Insurance, Financial Institutions and Professional Registration. Records kept per 374.070.4 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22632

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015

TITLE: Monthly Cash Reconciliations

CUTOFF:EOCY

DESCRIPTION: Monthly reconciliations of cash payments submitted by companies licensed and authorized to conduct insurance business in the State of Missouri. Records kept per 374.070.3 and 374.070.4 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22636

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015

TITLE: Premium Tax Delinquency Summary Reports

CUTOFF:EOCY

DESCRIPTION: Reports produced by the Department of Insurance, Financial Institutions and Professional Registration organizing delinquencies and overpayments of premium taxes by year and company.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22642

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015



Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and Professional Registration

Section:

Division: Insurance Company Regulation Division

Sub-Section:

TITLE: Premium Tax Return Summary Reports

CUTOFF:EOCY

DESCRIPTION: Reports produced by the Department of Insurance, Financial Institutions and Professional Registration that summarize the data from all premium tax returns filed by companies licensed and authorized to conduct insurance business in the State of Missouri. Insurance companies are taxed on the amount of premiums they generate from the sale of insurance products.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22641

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015

TITLE: Quarterly Reconciliations

CUTOFF:EOCY

DESCRIPTION: Reports used in reconciling the annual and quarterly premium tax liabilities of companies licensed and authorized to conduct insurance business in the State of Missouri.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22635

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015

TITLE: Regulatory Filings

CUTOFF:EOCY in which transaction concluded

DESCRIPTION: Documents required to be submitted for departmental approval as part of licensing requirements. Records include, but are not limited to, standard forms; dividend requests; reinsurance agreements; and Forms A, D, and E. Records created per 20 CSR 200-11.101 and kept per 374.070.3 RSMo.

RETENTION: Years: 7 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22648

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015



Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and Professional Registration

Section:

Division: Insurance Company Regulation Division

Sub-Section:

TITLE: Statutory Security Deposit Files

CUTOFF: EOY in which transaction concluded

DESCRIPTION: Documents providing audit confirmation for auditors and companies. Records include, but are not limited to, deposit and withdrawal requests, joint deposit agreements, reliance letters, bank weekly deposit exception reports, bank monthly deposit reports, certificates of deposit, account confirmation for auditors, and audit confirmation for companies. Records are required to ensure an insurance company maintains its statutorily required monetary deposit. Records created per 374.049 RSMo. and kept per 374.070.3 RSMo.

RETENTION: Years: 7 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22650

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015

TITLE: Surplus Line Broker Applications

CUTOFF: EOY in which transaction concluded

DESCRIPTION: Applications to become a surplus line broker in the State of Missouri. Surplus lines are risks related to an unusual type of coverage not provided under regular insurance policies. Records kept per 374.070.3 RSMo.

RETENTION: Years: 5 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22630

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015

TITLE: Surplus Lines and Brokers Self-Procured Tax Records

CUTOFF: EOY in which transaction concluded

DESCRIPTION: Forms required to be filed by the producer on each risk placed in Missouri and the payment of tax due. Records kept per 374.070.4 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22628

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015



Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and
Professional Registration

Section:

Division: Insurance Company Regulation Division

Sub-Section:

TITLE: Tax Certification

CUTOFF:EOCY

DESCRIPTION: Certification of tax submitted by the Broker for desk audit and certification.
RSMo 374.070.4 authorizes the retention period.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES: Series will be made obsolete when final box is disposed of (12/31/2015)

DISPOSITION ACTION: Destroy

SERIES: 22631

SERIES STATUS: Approved

APPROVAL DATE:

8/2/2007

TITLE: Tax Credit Reports

CUTOFF:EOCY in which reports filed

DESCRIPTION: Records include, but are not limited to, reports that contain premium tax
credit transactions of companies licensed and authorized to conduct
insurance business in the State of Missouri. The transactions are entered
into by the company resulting in the issuance or redemption of premium
tax credits that can be applied against the premium tax liability on the
company's premium tax return.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22637

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015

TITLE: Tax Returns and Related Correspondence - Alien

CUTOFF:EOCY in which transaction concluded

DESCRIPTION: Records include, but are not limited to, domiciled and closed alien (out-of-
country) receivership companies' premium tax returns including supporting
documentation and correspondence. The premium tax returns are
submitted directly to the Department of Insurance, Financial Institutions
and Professional Registration for desk audit and certification. Records
kept per 374.070.4 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 24088

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015



Agency Records Disposition Schedule

Department: Department of Insurance, Financial Institutions and Professional Registration

Section:

Division: Insurance Company Regulation Division

Sub-Section:

TITLE: Tax Returns and Related Correspondence - Domestic

CUTOFF: Close of last policy issued

DESCRIPTION: Records include, but are not limited to, Missouri domiciled and closed domestic (in-state) receivership companies' premium tax returns, including supporting documentation and correspondence. The premium tax returns are submitted directly to the Department of Insurance, Financial Institutions and Professional Registration for desk audit and certification. Records kept per 374.070.3 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22633

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015

TITLE: Tax Returns and Related Correspondence - Foreign

CUTOFF: EOY in which transaction concluded

DESCRIPTION: Records include, but are not limited to, domiciled and closed foreign (out-of-state) receivership companies' premium tax returns including supporting documentation and correspondence. The premium tax returns are submitted directly to the Department of Insurance, Financial Institutions and Professional Registration for desk audit and certification. Records kept per 374.070.4 RSMo..

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22634

SERIES STATUS: Approved

APPROVAL DATE:

6/9/2015