



Agency Records Disposition Schedule

Department: Department of Commerce & Insurance

Section:

Division: Insurance Company Regulation Division

Sub-Section:

TITLE: Application for Admission

CUTOFF: End of Calendar Year in Which Transaction Concluded

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 domestic (in-state), foreign (out-of-state) and alien (out-of-country) insurance companies. Records kept per 374.070.3 RSMo.

RETENTION: Years: 5 Months: 0 Days: 0

NOTES: See series 22622 and 22623 for renewal documentation.

DISPOSITION ACTION: Destroy

SERIES: 22626

SERIES STATUS: Approved

APPROVAL DATE:

6/28/2023

TITLE: Audit Guide and Analysis Files

CUTOFF: End of calendar year 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 RSMo.

RETENTION: Years: 7 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22649

SERIES STATUS: Approved

APPROVAL DATE:

11/15/2016

TITLE: Audit Reports - Surplus Line Insurers

CUTOFF: End of calendar year 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 Commerce & Insurance

Section:

Division: Insurance Company Regulation Division

Sub-Section:

TITLE: Certificate of Authority License Files - Domestic

CUTOFF: End of Calendar Year in Which Transaction Concluded

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: 5 Months: 0 Days: 0

NOTES: See series 22626 for Applications for Admission.

DISPOSITION ACTION: Destroy

SERIES: 22622

SERIES STATUS: Approved

APPROVAL DATE:

6/28/2023

TITLE: Certificate of Authority License Files - Foreign and Alien

CUTOFF: End of Calendar Year in Which Transaction Concluded

DESCRIPTION: Licensure renewal documents for foreign (out-of-state) and 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 and certified copies of certificates of authority from state of domicile for foreign and port (state) of entry for alien companies. Records kept per 374.070.3 RSMo.

RETENTION: Years: 5 Months: 0 Days: 0

NOTES: See series 22626 for Applications for Admission.

DISPOSITION ACTION: Destroy

SERIES: 22623

SERIES STATUS: Approved

APPROVAL DATE:

6/28/2023

TITLE: Certification Reports

CUTOFF: End of calendar year in which transaction concluded

DESCRIPTION: Reports produced by the department 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



Agency Records Disposition Schedule

Department: Department of Commerce & Insurance

Section:

Division: Insurance Company Regulation Division

Sub-Section:

TITLE: Change Letters

CUTOFF: End of calendar year in which transaction concluded

DESCRIPTION: Letters produced by the department 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

TITLE: Company Counts Reports

CUTOFF: End of calendar year in which reports produced

DESCRIPTION: Reports produced periodically by the department 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

TITLE: Company Organization Information - Domestic

CUTOFF: End of Calendar Year in Which Transaction Concluded

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: 5 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22624

SERIES STATUS: Approved

APPROVAL DATE:

6/28/2023



Agency Records Disposition Schedule

Department: Department of Commerce & Insurance

Section:

Division: Insurance Company Regulation Division

Sub-Section:

TITLE: Company Organization Information - Foreign and Alien

CUTOFF: End of Calendar Year in Which Transaction Concluded

DESCRIPTION: Foreign (out-of-state) and 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 374.070.3 RSMo.

RETENTION: Years: 5 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22625

SERIES STATUS: Approved

APPROVAL DATE:

6/28/2023

TITLE: Examination Reports - Domestic

CUTOFF: End of Calendar Year in Which Transaction Concluded

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. Records created per 374.205 RSMo.

RETENTION: Years: 10 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:

6/28/2023

TITLE: Examination Working Papers

CUTOFF: End of Calendar Year 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. Records created per 374.205 RSMo and kept per 374.070.3 RSMo.

RETENTION: Years: 7 Months: 0 Days: 0

NOTES: Examinations are 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.

DISPOSITION ACTION: Destroy

SERIES: 22645

SERIES STATUS: Approved

APPROVAL DATE:

6/28/2023



Agency Records Disposition Schedule

Department: Department of Commerce & Insurance

Section:

Division: Insurance Company Regulation Division

Sub-Section:

TITLE: Financial Statements - Domestic

CUTOFF: End of Calendar Year in Which Transaction Concluded

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 374.070.4 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:

6/28/2023

TITLE: Financial Statements - Foreign and Alien

CUTOFF: End of calendar year in which transaction concluded

DESCRIPTION: Annual and quarterly financial statements pertaining to foreign (out-of-state) and alien (out-of-country) companies including authorized reinsurers and suspended foreign and alien 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:

11/15/2016



Agency Records Disposition Schedule

Department: Department of Commerce & Insurance

Section:

Division: Insurance Company Regulation Division

Sub-Section:

TITLE: Insurance Company Correspondence

CUTOFF: End of Calendar Year in Which Transaction Concluded

DESCRIPTION: Correspondence with domestic (in-state), foreign (out-of-state), and alien (out-of-country) companies, including correspondence from the Chief Financial Examiner. 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 kept per 374.070 RSMo.

RETENTION: Years: 7 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22627

SERIES STATUS: Approved

APPROVAL DATE:

6/28/2023

TITLE: Missouri Premium Product Reports

CUTOFF: End of Calendar Year in Which Transaction Concluded

DESCRIPTION: Reports 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. 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. 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:

6/28/2023



Agency Records Disposition Schedule

Department: Department of Commerce & Insurance

Section:

Division: Insurance Company Regulation Division

Sub-Section:

TITLE: Monthly Cash Reconciliations

CUTOFF: End of calendar year

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: End of Calendar Year

DESCRIPTION: Reports produced by the department organizing delinquencies and overpayments of premium taxes by year and company. Records kept per 374.070.4 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22642

SERIES STATUS: Approved

APPROVAL DATE:

6/28/2023

TITLE: Premium Tax Return Summary Reports

CUTOFF: End of Calendar Year

DESCRIPTION: Reports produced by the department 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. Records kept per 374.070.4 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22641

SERIES STATUS: Approved

APPROVAL DATE:

6/28/2023



Agency Records Disposition Schedule

Department: Department of Commerce & Insurance

Section:

Division: Insurance Company Regulation Division

Sub-Section:

TITLE: Quarterly Reconciliations

CUTOFF: End of Calendar Year

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. Records kept per 374.070.4 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22635

SERIES STATUS: Approved

APPROVAL DATE:

6/28/2023

TITLE: Regulatory Filings

CUTOFF: End of Calendar Year 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; business plan changes; and Forms A, D, and E. Records created per 20 CSR 200-11.101 and 20 CSR 200-20.020 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:

6/28/2023

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



Agency Records Disposition Schedule

Department: Department of Commerce & Insurance

Section:

Division: Insurance Company Regulation Division

Sub-Section:

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: End of calendar year 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

TITLE: Tax Credit Reports

CUTOFF: End of Calendar Year in Which Reports Filed

DESCRIPTION: 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. Records kept per 374.070.4 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22637

SERIES STATUS: Approved

APPROVAL DATE:

6/28/2023



Agency Records Disposition Schedule

Department: Department of Commerce & Insurance

Section:

Division: Insurance Company Regulation Division

Sub-Section:

TITLE: Tax Returns and Related Correspondence - Domestic

CUTOFF: End of Calendar Year in Which Transaction Concluded

DESCRIPTION: Premium tax returns submitted to the department for desk audit and certification. Records include, but are not limited to, Missouri domiciled and closed domestic (in-state) receivership companies' premium tax returns, including supporting documentation and correspondence. Records kept per 374.070.4 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22633

SERIES STATUS: Approved

APPROVAL DATE:

6/28/2023

TITLE: Tax Returns and Related Correspondence - Foreign and Alien

CUTOFF: End of Calendar Year in Which Transaction Concluded

DESCRIPTION: Premium tax returns submitted to the department for desk audit and certification. Records include, but are not limited to, domiciled and closed foreign (out-of-state) and alien (out-of-country) receivership companies' premium tax returns including supporting documentation and correspondence. 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:

6/28/2023

TITLE: Third-Party Administrator and Regulated Entity Records

CUTOFF: End of calendar year in which transaction concluded

DESCRIPTION: Attachments and other required regulatory paperwork used for licensing. 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, managing general agent applications, appointments, and reinsurance intermediary 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:

11/15/2016



Agency Records Disposition Schedule

Department: Department of Commerce & Insurance

Section:

Division: Insurance Company Regulation Division

Sub-Section:

TITLE: Workers Compensation Self-Insurers Premium Tax

CUTOFF: End of Calendar Year

DESCRIPTION: Documents regarding Workers' Compensation premium tax on self-insurers that are used to ensure compliance with all regulations. Records kept per 374.070.4 RSMo.

RETENTION: Years: 10 Months: 0 Days: 0

NOTES:

DISPOSITION ACTION: Destroy

SERIES: 22680

SERIES STATUS: Approved

APPROVAL DATE:

6/28/2023