

## Retention and Classification Report

**Agency:** Department of Financial Institutions (398)

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**Records Officer:** \_\_\_\_\_

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**AGENCY:** Department of Financial Institutions

**SERIES:** 81353

3

**TITLE:** Annual financial report

**DATES:** 1987-

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

**RETENTION:**

Retain for 5 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 5 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s).

This retention is based on Utah General Schedule 5 Item 5a.

**AGENCY:** Department of Financial Institutions

**SERIES:** 81354

3

**TITLE:** Annual leave cards

**DATES:** 1987-

**ARRANGEMENT:** none

**DESCRIPTION:**

**RETENTION:**

Retain for 65 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year or until file in personnel file.

**APPRAISAL:**

These records have administrative value(s).  
This retention is based on Utah General Schedule 2 Item 9b.

**PRIMARY DESIGNATION:**

Private

**AGENCY:** Department of Financial Institutions

**SERIES:** 2892

3

**TITLE:** Annual reports

**DATES:** 1913-

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

This series contains reports of Department of Financial Institutions (formerly Banking Commission and Banking Department) activities from the previous year with information pertaining to agency activities, agency staff, history, banks, credit unions, savings and loans, trust companies, financial holding companies, travelers checks, escrow agents, mortgages, and fiscal and financial operations.

**RETENTION:**

Permanent. Retain until administrative need ends

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**AUTHORIZED:** 10-30-2018

**FORMAT MANAGEMENT:**

Paper: Retain in State Archives permanently with authority to weed.

Microfiche master: Retain in State Archives permanently with authority to weed.

Microfiche duplicate: Retain in State Archives permanently with authority to weed.

**APPRAISAL:**

These records have historical value(s).

Publications document agency history and functions. Reports have ongoing research value.

**AGENCY:** Department of Financial Institutions

**SERIES:** 2892

**TITLE:** Annual reports

(continued)

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Financial Institutions

**SERIES:** 81355

3

**TITLE:** Applications not hired

**DATES:** 1987-

**ARRANGEMENT:** none

**DESCRIPTION:**

**RETENTION:**

Retain for 2 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years and then destroy.

**APPRAISAL:**

These records have administrative value(s).

This retention is based on Utah General Schedule 1 Item 15.

**PRIMARY DESIGNATION:**

Private

**AGENCY:** Department of Financial Institutions

**SERIES:** 81338

3

**TITLE:** Applications to act as money order vendors

**DATES:** 1981-

**ARRANGEMENT:** Alphabetical by name

**DESCRIPTION:**

In order for a vendor to become an underwriter for money orders, they must register with the state and meet certain criteria. This criteria is that the vendor must have at least \$1 million in assets and hold a \$50,000 bond. The application is reviewed by the department and the financial status is verified. This application is then held on file as proof of registration. This is done once a year. These applications include name and address of applicant, financial statement, background information of applicant, and proof of bonding.

**RETENTION:**

Retain for 2 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years and then destroy.

**APPRAISAL:**

These records have administrative value(s).

This retention is based on administrative needs.



**AGENCY:** Department of Financial Institutions

**SERIES:** 81339

3

**TITLE:** Authorization to use restricted words in name files

**DATES:** 1981-

**ARRANGEMENT:** Alphabetical by name

**DESCRIPTION:**

Utah law forbids an institution to misrepresent itself as a depository institution by using an unauthorized title or name in its business logo. These files are the documentation resulting from the regulation and approval of this process. The information includes name and address of applicant, proposed name and address, nature of proposed business organization, affiliated organizations, signature of applicant, approval with or without restrictions, and signature of department commissioner.

**RETENTION:**

Retain for 1 year(s) after resolution of issue

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year after expiration and then destroy.

**APPRAISAL:**

These records have administrative value(s).

This retention is based on administrative needs.

**AGENCY:** Department of Financial Institutions

**SERIES:** 81339

**TITLE:** Authorization to use restricted words in name files

(continued)

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Financial Institutions

**SERIES:** 5872

3

**TITLE:** Bank location maps

**DATES:** 1959-

**ARRANGEMENT:** Alphanumerical

**DESCRIPTION:**

**RETENTION:**

Retain permanently

**DISPOSITION:**

May Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**FORMAT MANAGEMENT:**

Paper: Retain in State Archives permanently with authority to weed.

**AGENCY:** Department of Financial Institutions

**SERIES:** 81341

3

**TITLE:** Board meeting minutes

**DATES:** 1981-

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

These are minutes recorded from meetings held by the Financial Institutions Board. Their responsibility ranges from approving the budget requests for the agency to acting as an advisory committee when drafting banking regulations. Included her are transcript records of what was said and who said it.

**RETENTION:**

Permanent. Retain for 5 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 5 years and then transfer to State Archives with authority to weed.

**APPRAISAL:**

These records have administrative, and/or historical value(s).

These records have historical value.

**AGENCY:** Department of Financial Institutions

**SERIES:** 81356

3

**TITLE:** Budget requests

**DATES:** 1987-

**ARRANGEMENT:** none

**DESCRIPTION:**

**RETENTION:**

Permanent. Retain for 3 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 3 years and then transfer to State Archives with authority to weed.

**APPRAISAL:**

These records have administrative, and/or historical value(s).  
This retention is based on Utah General Schedule 5 Item 2.

**AGENCY:** Department of Financial Institutions

**SERIES:** 81357

3

**TITLE:** Budget workpapers

**DATES:** 1987-

**ARRANGEMENT:** none

**DESCRIPTION:**

**RETENTION:**

Retain for 1 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s).

This retention is based on Utah General Schedule 5 Item 4.

**AGENCY:** Department of Financial Institutions

**SERIES:** 81340

3

**TITLE:** Call reports

**DATES:** 1981-

**ARRANGEMENT:** Alphabetical by institution

**DESCRIPTION:**

These financial reports are requested by the commissioner twice a year for all depository institutions in the State of Utah. The examiners compare the reports to the regulatory requirements established by the department to determine the health of each depository institution. These files include earnings and dividends reports, financial reports, balance sheets, data about classified loans, and profit and loss statements.

**RETENTION:**

Retain for 4 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 2 years or until transferred to magnetic tape and then destroy.

Computer magnetic storage media: Retain in Office for 1 year and then transfer to State Archives with authority to weed.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s). This retention is based in part on the Federal Reserve System's Retention Schedule dated May 1985, p. 31, number 1-4, the recommendation of the department's chief examiner, and the University of Utah's Department Head in the Finance Department, Dr. Steve Manaster. Previous decision: RDR 73-03: 5 years/confidential.

**AGENCY:** Department of Financial Institutions

**SERIES:** 81340

**TITLE:** Call reports

(continued)

**PRIMARY DESIGNATION:**

Protected



**AGENCY:** Department of Financial Institutions

**SERIES:** 81343

3

**TITLE:** Depository institution examination reports

**DATES:** 1971-

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

These are records resulting from institutional examinations conducted by staff from the department. The examinations are commercial in nature and are intended to discover any financial problems the institution may be suffering from. All institutions subject to regulation by outside agencies such as the Federal Reserve Bank receive a copy of these examinations for their use and reference. These records include statistical financial data, loan reviews, investment reviews, policy and procedures reviews, copies of bank board minutes, and final copies of the department's written report of the examination.

**RETENTION:**

Permanent. Retain for 7 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years and then transfer to State Records Center. Retain in State Records Center for 3 years and then transfer all data to magnetic tape and destroy.

Computer magnetic storage media: Retain in Office for 2 years and then transfer to State Archives.

**APPRAISAL:**

These records have administrative, fiscal, and/or legal value(s).  
Previous decision: RDR 73-03: 5 years/confidential. This retention is based in part on the GAO's Comprehensive Retention Schedule 090-16, UCA 76-1-302, the recommendation of the department's chief examiner, Wisconsin's retention found on RLIN

**AGENCY:** Department of Financial Institutions

**SERIES:** 81343

**TITLE:** Depository institution examination reports

(continued)

document WIHV 1486-A, and the University of Utah's Department Head in the Finance Department, Dr. Steve Manaster.

**PRIMARY DESIGNATION:**

Protected

**AGENCY:** Department of Financial Institutions

**SERIES:** 81345

3

**TITLE:** Depository institution incorporation files

**DATES:** 1913-

**ARRANGEMENT:** Alphabetical by institution

**DESCRIPTION:**

These records document the incorporation charters issued by the department to depository institutions. They are also used by the department staff to answer any inquiries referred to the staff by consumers or other agencies. They include articles of incorporation, charters, investigative reports, workpapers, correspondence, and directives affecting the operation of the institution.

**RETENTION:**

Permanent. Retain until final action

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office until inactive and then transfer to State Archives with authority to weed.

**APPRAISAL:**

These records have administrative, and/or historical value(s).  
This retention is based on historical retention value apparent in the records, the chief examiner of the department's recommendation, and Wisconsin's retention found in RLIN document WIHV793-A.

**AGENCY:** Department of Financial Institutions

**SERIES:** 81345

**TITLE:** Depository institution incorporation files

(continued)

**PRIMARY DESIGNATION:**

Protected

**AGENCY:** Department of Financial Institutions

**SERIES:** 81344

3

**TITLE:** Depository institution statistical financial reports

**DATES:** 1981-

**ARRANGEMENT:** Alphabetical by institution

**DESCRIPTION:**

These financial reports are requested by the commissioner twice a year for all depository institutions in the State of Utah. These reports differ from the Call Reports in that they are not shared routinely outside the department with other agencies. Secondly, these reports are not subject to public disclosure as Call Reports are. The examiners compare the reports to the regulatory requirements established by the department to determine the health of each depository institution. This record series includes earnings and dividends reports, financial reports, balance sheets, data about classified loans, and profit and loss statements.

**RETENTION:**

Permanent. Retain for 4 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 2 years and then transfer all data to magnetic tape.

Computer magnetic storage media: Retain in Office for 1 year and then transfer to State Archives.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s). This retention is based in part on the Federal Reserve System's Retention Schedule dated May 1985, p. 31, number 1-4, the recommendation of the department's chief examiner, and the

**AGENCY:** Department of Financial Institutions

**SERIES:** 81344

**TITLE:** Depository institution statistical financial reports

(continued)

University of Utah's Department Head in the Finance Department,  
Dr. Steve Manaster. Previous decision: RDR 73-03: 5  
years/confidential.

**PRIMARY DESIGNATION:**

Protected

**AGENCY:** Department of Financial Institutions

**SERIES:** 81342

3

**TITLE:** Depository institutions applications

**DATES:** 1981-

**ARRANGEMENT:** Alphabetical by name of institution

**DESCRIPTION:**

These are applications for doing business as a lender in the State of Utah. In order to do this, the applicant must have the approval of the Department of Financial Institutions. The applications can be filled out by an individual wishing to buy a bank or a corporate entity. The department reviews the application for financial status and does a background check through the security division in Business Regulations, the Attorney General's office, and the FBI. These applications include articles of incorporation, charters, historical background of the individual(s) or corporation, financial status of the corporation or individual(s), and correspondence. Application types include: branch banks; new banks; new owners or owners who want to purchase more than 20% of the corporation's stock; credit unions; to change from one type of institution to another; and trust departments.

**RETENTION:**

Retain for 4 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 4 years and then transfer legal documents to legal incorporation.

**APPRAISAL:**

These records have administrative, and/or legal value(s).  
This appraisal is based on administrative need and UCA 76-1-302.

**AGENCY:** Department of Financial Institutions

**SERIES:** 81342

**TITLE:** Depository institutions applications

(continued)

**PRIMARY DESIGNATION:**

Private



**AGENCY:** Department of Financial Institutions

**SERIES:** 81358

3

**TITLE:** Deposits to the Treasurer

**DATES:** 1987-

**ARRANGEMENT:** none

**DESCRIPTION:**

**RETENTION:**

Retain for 2 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 1 year and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s).  
This retention is based on Utah General Schedule 6 Item 8.

**AGENCY:** Department of Financial Institutions

**SERIES:** 81359

3

**TITLE:** Expenditure adjustments

**DATES:** 1987-

**ARRANGEMENT:** none

**DESCRIPTION:**

**RETENTION:**

Retain for 2 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 1 year and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s).  
This retention is based on Utah General Schedule 6 Item 7.

**AGENCY:** Department of Financial Institutions

**SERIES:** 81360

3

**TITLE:** Fixed asset inventory list

**DATES:** 1987-

**ARRANGEMENT:** none

**DESCRIPTION:**

**RETENTION:**

Retain for 2 year(s) after superseded

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years after last inventory and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s).

This retention is based on Utah General Schedule 3 Item 10a.

**AGENCY:** Department of Financial Institutions

**SERIES:** 81346

3

**TITLE:** General correspondence

**DATES:** 1981-

**ARRANGEMENT:** Alphabetical by originator

**DESCRIPTION:**

These are letters to and from state agencies, depository institutions, consumers, and federal agencies addressing routine agency matters and regulatory matters. This includes memorandums, circulars, and letters outgoing and incoming.

**RETENTION:**

Permanent. Retain for 2 year(s)

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 1 year and then transfer to State Archives with authority to weed.

Paper copy: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 1 year and then destroy.

**APPRAISAL:**

These records have administrative, and/or historical value(s).  
The director's correspondence is valuable, the rest has administrative value only.

**AGENCY:** Department of Financial Institutions

**SERIES:** 81346

**TITLE:** General correspondence

(continued)

**PRIMARY DESIGNATION:**

Private

**AGENCY:** Department of Financial Institutions

**SERIES:** 81348

3

**TITLE:** Holding companies registration files

**DATES:** 1981-

**ARRANGEMENT:** Alphabetical by name

**DESCRIPTION:**

All financial institution holding companies are required to register with the department. This is reviewed by the department for discrepancies, improprieties, and other problems. This is then used as a reference tool by the agency when they want information about the company. These files include name and address of company, name and address of companies controlled by holding company, percentage of control, a certified copy of the company financial statement, the names, addresses, and occupation of each registrant on the form, a list of stockholders owning more than 5% of the company and an affidavit attesting to the correctness of the data.

**RETENTION:**

Retain for 4 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 4 years after expiration and then destroy.

**APPRAISAL:**

These records have administrative, and/or legal value(s).  
This retention is based in part on 12 CFR 12.3.

**AGENCY:** Department of Financial Institutions

**SERIES:** 81361

3

**TITLE:** Interdepartmental transfers

**DATES:** undated

**ARRANGEMENT:** none

**DESCRIPTION:**

Transfers between departments

**RETENTION:**

Retain for 1 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then destroy.

**APPRAISAL:**

These records have administrative value(s).

This retention is based on Utah General Schedule 6 Item 5.

**AGENCY:** Department of Financial Institutions

**SERIES:** 81349

3

**TITLE:** Issuer's application for registration to sell securities

**DATES:** 1981-

**ARRANGEMENT:** Alphabetical by name

**DESCRIPTION:**

The department in accordance with state law requires the registration of any person/corporation desiring to sell securities. These registrants must also provide information regarding the nature of the security to be sold and the financial condition of the seller. The information recorded includes date, name and address of issuer, type of institution, contact person, agent or underwriter, transfer agent, description of securities to be offered, amount of commission to be paid, number of shares authorized by articles of incorporation, purpose of sale, signature and title of applicant.

**RETENTION:**

Retain for 3 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 3 years after expiration and then destroy.

**APPRAISAL:**

These records have administrative value(s).

This retention is based on 12 CFR 12.3.



**AGENCY:** Department of Financial Institutions

**SERIES:** 81349

**TITLE:** Issuer's application for registration to sell securities

(continued)

**PRIMARY DESIGNATION:**

Private

**AGENCY:** Department of Financial Institutions

**SERIES:** 81362

3

**TITLE:** Leave applications

**DATES:** 1987-

**ARRANGEMENT:** none

**DESCRIPTION:**

**RETENTION:**

Retain for 1 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then destroy.

**APPRAISAL:**

These records have administrative value(s).

This retention is based on Utah General Schedule 2 Item 8.

**PRIMARY DESIGNATION:**

Private

**AGENCY:** Department of Financial Institutions

**SERIES:** 81350

3

**TITLE:** Monthly reports of public funds in depository institutions

**DATES:** 1981-

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

The department acts as staff to the state's money management committee. This committee is responsible for supervising the deposit of public funds in the state. These reports are used to monitor the institution in which the state's money is located. These reports include name of institution, total percentage of funds, insured funds held, uninsured/uncollateralized public funds, and unsecured public funds.

**RETENTION:**

Retain for 1 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then destroy.

**APPRAISAL:**

These records have administrative value(s).

This records series has administrative value only.

**PRIMARY DESIGNATION:**

Protected

**AGENCY:** Department of Financial Institutions

**SERIES:** 81363

3

**TITLE:** Motor pool operation records

**DATES:** 1987-

**ARRANGEMENT:** none

**DESCRIPTION:**

General schedule 2a

**RETENTION:**

Retain for 3 month(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 3 months and then destroy.

**APPRAISAL:**

These records have administrative value(s).

This retention is based on Utah General Schedule 10 Item 2a.

**AGENCY:** Department of Financial Institutions

**SERIES:** 23108

3

**TITLE:** Networth News newsletters

**DATES:** 1995-

**ARRANGEMENT:** Chronological

**DESCRIPTION:**

This series contains newsletters created by the Department of Financial Institutions to provide current financial information.

The newsletters contain information pertaining to the Commissioner's message, agency activities, agency staff, legislation, and financial institutions.

**RETENTION:**

Permanent. Retain until administrative need ends

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**AUTHORIZED:** 10-30-2018

**FORMAT MANAGEMENT:**

Paper: Retain in State Archives permanently with authority to weed.

**APPRAISAL:**

These records have historical value(s).

Publications document agency history and functions. Newsletters have ongoing research value.

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Financial Institutions

**SERIES:** 81352

3

**TITLE:** Notice to establish a consumer funds transfer facility

**DATES:** 1985-

**ARRANGEMENT:** Alphabetical by name

**DESCRIPTION:**

All depository institutions must provide notice of the intention to open an automated teller machine 30 days before commencing operation. No machine may be installed that is owned by an institution authorized to receive deposits in Utah. The department may disapprove the installation based on commercial reasons, safety reasons, or for any unsound conditions under the jurisdiction of the agency. The information includes name of applicant, address of proposed facility, owner of facility, signature and title of applicant, evidence provided for disapproval.

**RETENTION:**

Retain until resolution of issue

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office until expiration and then destroy.

**APPRAISAL:**

These records have administrative value(s).

This retention is based on administrative needs.

**AGENCY:** Department of Financial Institutions

**SERIES:** 81351

3

**TITLE:** Notification of intent to extend consumer credit from credit corporations

**DATES:** 1981-

**ARRANGEMENT:** Alphabetical by name

**DESCRIPTION:**

This is a form sent from any corporation which wishes to extend credit to consumers in exchange for goods or services, make consumer leases, or take assignments of consumer paper. These corporations are required to file this notice once a year with the department. The information includes name and address of person or firm, type of business, type of credit or loan extended, and a fee computation sheet.

**RETENTION:**

Retain for 2 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or legal value(s).

This retention is based on UCA 70C-7-205.

**PRIMARY DESIGNATION:**

Private

**AGENCY:** Department of Financial Institutions

**SERIES:** 81364

3

**TITLE:** Payroll reports

**DATES:** 1987-

**ARRANGEMENT:** none

**DESCRIPTION:**

**RETENTION:**

Retain for 3 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 2 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s).  
This retention is based on Utah General Schedule 2 Item 17.

**PRIMARY DESIGNATION:**

Private



**AGENCY:** Department of Financial Institutions

**SERIES:** 81365

3

**TITLE:** Preliminary payroll

**DATES:** 1987-

**ARRANGEMENT:** none

**DESCRIPTION:**

**RETENTION:**

Retain for 1 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s).

This retention is based on Utah General Schedule 2 Item 15.

**PRIMARY DESIGNATION:**

Private

**AGENCY:** Department of Financial Institutions

**SERIES:** 81367

3

**TITLE:** Purchase requisitions

**DATES:** 1987-

**ARRANGEMENT:** none

**DESCRIPTION:**

agency purchases

**RETENTION:**

Retain until resolution of issue

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office until completion of purchase and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s).

This retention is based on Utah General Schedule 3 Item 4c.

**AGENCY:** Department of Financial Institutions

**SERIES:** 23914

3

**TITLE:** Receipts

**DATES:** 1996-

**ARRANGEMENT:** numerical

**ANNUAL ACCUMULATION:** 0.10 cubic feet.

**DESCRIPTION:**

Agency copy of receipts given to customers to the agency for services rendered.

**RETENTION:**

Retain for 7 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule State government accounts payable and receivable records, GRS-1854.

**AUTHORIZED:** 02-11-2019

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 7 years and then destroy.

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Financial Institutions

**SERIES:** 81368

3

**TITLE:** Records retention schedule

**DATES:** 1987-

**ARRANGEMENT:** none

**DESCRIPTION:**

Financial Institutions retention schedule

**RETENTION:**

Retain until superseded

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office until the next update of retention schedule and then destroy.

**APPRAISAL:**

These records have administrative value(s).

This retention is based on Utah General Schedule 16 Item 11.

**AGENCY:** Department of Financial Institutions

**SERIES:** 81369

3

**TITLE:** Records transfer sheets

**DATES:** 1987-

**ARRANGEMENT:** none

**DESCRIPTION:**

Transfers to record center and Archives

**RETENTION:**

Retain for 6 month(s) after final action

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 6 months after final disposition of records and then destroy.

**APPRAISAL:**

These records have administrative value(s).

This retention is based on Utah General Schedule 16 Item 3c.

**AGENCY:** Department of Financial Institutions

**SERIES:** 81370

3

**TITLE:** Staff minutes

**DATES:** 1987-

**ARRANGEMENT:** none

**DESCRIPTION:**

Minutes of staff meetings

**RETENTION:**

Retain for 2 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 2 years and then destroy.

**APPRAISAL:**

These records have administrative value(s).

This retention is based on Utah General Schedule 23 Item 2a.

(Check this GS #.)

**AGENCY:** Department of Financial Institutions

**SERIES:** 81371

3

**TITLE:** Surplus Property disposal records

**DATES:** 1987-

**ARRANGEMENT:** none

**DESCRIPTION:**

**RETENTION:**

Retain for 1 year(s) after final action

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year after final disposition and then destroy.

**APPRAISAL:**

These records have administrative value(s).  
The retention in Utah General Schedule 4 Item 1 states 6 years.  
This applies to the record copy kept by the Division of Surplus Property. The agency copy only has administrative value.

**AGENCY:** Department of Financial Institutions

**SERIES:** 84661

3

**TITLE:** Third-party payment license application files

**DATES:** 1983-

**ARRANGEMENT:** Alphabetical by name

**ANNUAL ACCUMULATION:** 0.10 cubic feet.

**DESCRIPTION:**

These files document the issuance of licenses to financial corporations who, upon proving a net worth of one million dollars, are allowed to issue money orders, traveler's checks, and other forms of third-party payment in Utah. Information in the file assists the agency in annual license renewal. Licensing is required for the protection of purchasers of third-party payments. The files include a copy of the license (name of vendor, date of commencement, date and place of incorporation, signature of commissioner, date signed); application for license (name and address of applicant, incorporation date and date admitted to do business in Utah, signature of applicant, notarized affidavit, notary signature and seal); letter of renewal of license; receipt of annual application fee; annual audited financial statements showing networth of one million dollars; and a copy of continuation certification (date of receipt of renewal request).

**RETENTION:**

Retain for 1 year(s) after expiration of permit or license

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

These records are in Archives' permanent custody.

**APPROVED:** 09/1989

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year after renewal of license and then destroy.



**AGENCY:** Department of Financial Institutions

**SERIES:** 84661

**TITLE:** Third-party payment license application files

(continued)

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Financial Institutions

**SERIES:** 10538

3

**TITLE:** Travel advance cancelled checks

**DATES:** 1982-

**ARRANGEMENT:** Numerical by check number

**DESCRIPTION:**

Cancelled checks, debit/credit memoranda, deposit slips, and monthly reconciliations.

**RETENTION:**

Retain for 3 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule Reimbursement files, GRS-1833.

**AUTHORIZED:** 01-11-2019

**FORMAT MANAGEMENT:**

Paper copy: Retain in Office for 3 years and then destroy.

**AGENCY:** Department of Financial Institutions

**SERIES:** 81373

3

**TITLE:** Travel reimbursement files

**DATES:** 1987-

**ARRANGEMENT:** none

**DESCRIPTION:**

**RETENTION:**

Retain for 3 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 3 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s).

This retention is based on Utah General Schedule 9 Item 4.

**PRIMARY DESIGNATION:**

Public except home address and social security number which are private

**AGENCY:** Department of Financial Institutions

**SERIES:** 81374

3

**TITLE:** Travel requests

**DATES:** 1987-

**ARRANGEMENT:** none

**DESCRIPTION:**

**RETENTION:**

Retain for 3 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 3 years and then destroy.

**APPRAISAL:**

These records have administrative value(s).

This retention is based on Utah General Schedule 9 Item 3.

**PRIMARY DESIGNATION:**

Public except home address and social security number which are private

**AGENCY:** Department of Financial Institutions

**SERIES:** 81375

3

**TITLE:** Vendor purchase applications

**DATES:** 1987-

**ARRANGEMENT:** none

**DESCRIPTION:**

**RETENTION:**

Retain until expiration of contractual agreement

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office until termination of contract and then destroy.

**APPRAISAL:**

These records have administrative, fiscal, and/or legal value(s).  
This retention is based on Utah General Schedule 3 Item 4c.

**PRIMARY DESIGNATION:**

Public

**AGENCY:** Department of Financial Institutions

**SERIES:** 81376

3

**TITLE:** Warrant requests

**DATES:** undated

**ARRANGEMENT:** none

**DESCRIPTION:**

**RETENTION:**

Retain for 1 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series were specifically approved by the State Records Committee.

**APPROVED:** 06/1987

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year and then destroy.

**APPRAISAL:**

These records have administrative, and/or fiscal value(s).

This retention is based on Utah General Schedule 6 Item 1.

**PRIMARY DESIGNATION:**

Public