

*** DRAFT - NOT YET FILED ***

1301:6-3-48

Records retention.

- (A) The division shall draft schedules for the retention of consents to service of process filed with the division, in any medium filed with, or retained by, the division, as part of a registration by description, a registration by qualification, a registration by coordination, a filing to claim an exemption, or a notice filing, the scheduled retention period of which shall be no less than eight years.
- (B) The division shall draft schedules for the retention, in any medium filed with, or retained by, the division, of the originals or copies of documents filed with the division as license applications for investment advisers, investment adviser representatives, dealers, ~~and~~ salespersons, state retirement system investment officers, and the bureau of workers compensation chief investment officer, and the originals or copies of documents filed with the division, in any medium filed with, or retained by, the division, as notice filings submitted by federally registered investment advisers, the scheduled retention period of which shall be no less than five years.
- (C) The division shall draft schedules for the retention of all documents, testimony transcripts, investigative reports, and investigative notes that the division has compiled in original or copy form, electronic or in any medium, the scheduled retention period of which shall be no less than five years from the date the enforcement file containing this documentation is deemed closed by the division.
- (D) The division may receive documents electronically. If the division converts documents into electronic copies, the original may be destroyed upon conversion and the electronic document shall be retained according to the retention schedule as though it was the original.

1301:6-3-48

2

Effective:

Five Year Review (FYR) Dates:

Certification

Date

Promulgated Under:	119.03
Statutory Authority:	1707.20
Rule Amplifies:	1707.48
Prior Effective Dates:	1-28-00, 11-27-00