Active Compliance Division Company Charter Files

Core Data

RDA Number:	11188
Effective Date:	2016-11-03
Record Series Abstract:	Original charter files for organizing industrial loan and thrift companies, mortgage companies, premium finance companies, check cashers, title pledge lenders, deferred presentment companies, flexible credit companies or any other company licensed by the division. This includes, but is not limited to: new applications, renewal applications, correspondence, surety bonds, annual reports, and secretary of state verification when applicable.
Record Series Active:	Yes
Cut Off at End of:	Other
Total Retention Years:	0
Total Retention Months:	0
Retention End Action:	Permanent
Disposition Notes:	Record series covers pre-existing paper charter files that were received prior to the move to digital storage. No new document or file will be added to these records. Records will be stored at Richards & Richards while active. If company closes, license expires, or otherwise terminates, surrenders or withdraws, the file will be reviewed and closed. Once closed the record series is transferred to RDA 2944 for appropriate retention and disposition.
RDA Signed Agency Form:	2177.form.pdf

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Worksheet (A)

Record Location:	TN Department of Financial Institutions 312 Rosa L. Parks Avenue TN Tower, 26th Floor Nashville, TN 37243
File Arrangement:	Alpha
Media Format Generated:	Paper
Media Format Generated Summary:	
Media Format Stored:	Paper
Media Format Stored Summary:	
Date Range:	to
Agency:	Dept. of Financial Institutions
Allotment Code:	33600
Annual Accumulation:	0
Current Volume:	74 cubic feet

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Worksheet (B)

Record Value:	Administrative Legal
Audit Requirements:	State
Information Shared Outside the State:	No
Shared Agencies:	
Essential Record:	No
Confidential:	Yes
Does this record series contain sensitive information?:	No
Agency Retention:	Permanent
Retention Legal Citation:	TCA 45-1-120(a)
Record Sample PDF:	2177.sample.pdf

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	RDA Comments
Records Management Division (RMD)	**2016-10-06** No recommended changes
Tennessee State Library and Archives	**2016-10-07** No recommended changes.
Comptroller Audit Review	**2016-10-07** We have reviewed RDA 11188 from an audit standpoint. We concur with the recommended retention and disposition specifications.
Agency Records Officer	**2016-10-10** Agency concurs with TSLA, State Audit, and RMD.
RMD Director	**2016-10-10** RDA 11188 is a request for a new RDA. The retention period is permanent and the format is paper. Company Charters must be kept permanently until a company no longer maintains a license, at which time the file is reviewed and may be transferred to RDA 2944, Closed Company Charters. The separate RDAs are to prevent any accidental destruction of active company charters. Recommend approval of request to create RDA 11188.
Public Records Commission	**2016-11-03** PRC approves RDA 11188.