

**NYS OFFICE OF THE ATTORNEY GENERAL  
RECORDS RETENTION AND DISPOSITION SCHEDULE  
May 20, 2014**

| RECORDS SERIES   | AUTHORI-ZATION NUMBER | MINIMAL RETENTION AND FINAL DISPOSITION                        |
|--|-----------------------|--|
| [REDACTED]   |                       |  |
| <b>CHARITIES:</b>  |                       |  |
| Charities Bureau cases other than trusts and estates matters - Includes formal and informal investigations, litigation, and 3 <sup>rd</sup> party litigation for charities cases not dealing with trust and estate matters.  | 22,407                | Retain for 12 years after case is closed, then destroy.        |
| Informal trust and estate accounting matters - Most questionable trust and estate accounting matters can be handled informally with the OAG rather than through the courts. The records in this series include trust documents, wills, and annual and final financial reports. Those cases that end up in court are covered in RDA #22,409 and are filed separately. | 22,408                | Retain for 10 years after closing of matter, and then destroy. |

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|---|----------------------|--|
| Surrogate Court proceedings and Supreme Court trust accountings. This series includes accountings, letters of administration, probate of wills, and other judicial matters. All Surrogate Court proceedings and trust accountings are handled by the Charities Bureau, which attempts to ensure that charity finances are handled appropriately.  | 22,409               | Retain for 20 years after closing of matter, and then destroy.   |
| Not-for-profit transactions - This series includes documentation on sales, mergers, dissolutions, and certificate amendments for non-profit organizations throughout NYS. Corporations that hold and administer property for charitable purposes in NY are required to register and report to the Charities Bureau pursuant to Estates, Powers and Trusts Law, Section 8-1.4. Review and approval of these transactions must be made by the Charities Bureau. | 22,410               | Retain for 10 years after closing of transaction, and then destroy.  |
| Registration statements - Includes registration applications and organizing documents for non-profit entities required to register with the Charities Bureau. However, some organizations, like religious organizations, are exempt from registering with the Charities Bureau. Those entities may submit a Request for Registration Exemption form, which is also included in this series.   | 22,643               | Destroy paper records after scanning and image verification. Transfer scanned records to the New York State Archives 6 years after closing of registration file. |
| Annual financial reports - Includes annual financial reports and supporting documentation (e.g. IRS990, NY Form CHAR500, etc.) submitted by charitable organizations required to register with the Charities Bureau. These reports are required by Article 7-A, Section 172 of the Executive Law.   | 22,642               | Destroy paper records after scanning and image verification. Destroy scanned records 6 years after closing of registration file.                                 |
| Annual registration statements and bonds of professional fundraisers and fundraising counsels.  | 19,459               | Retain for 6 years after business ceases in NYS or no contact, then destroy  |
| Annual registration statements of professional solicitors.  | 19,460               | Retain for 6 years from the date the annual registration expires, and then destroy.  |
| Charities Bureau general correspondence.  | 19,462               | Retain for 2 years, and then destroy at end of calendar year that material is received.  |
| Professional fundraiser contracts and financial statements - All fundraisers held in NYS need to be registered with the Charities Bureau, and must also file all related service contracts and financial reports. The records in this series include these contracts and financial statements.  | 19,463               | Retain for 6 years after closing of registration file, and then destroy.   |
| Complaints and inquiries - Includes letter Charities Bureau received and its response to complaint or inquiry where matter does not lead into an investigation. If the complaint or inquiry leads to an investigation and litigation, these records would fall under RDA #22,407.   | 22,411               | Retain for 4 years after closing of matter, and then destroy.  |