

## Retention and Classification Report

**Agency:** Attorney General's Office. Criminal Department. White Collar and Commercial Enforcement Division (1927)  
Heber M. Wells Bldg., 5th Floor  
160 East 300 South, P.O. Box 140872  
Salt Lake City, UT 84114-0872

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

09610	Administrative case files
28922	Commerce legal case files
00141	Consumer protection case files
28923	Corporations legal case files
22220	Division of Real Estate closed case files
14213	Occupational and professional licensing case files
09592	Securities case files

**AGENCY:** Attorney General's Office. Criminal Department. White Collar and Commercial Enforcement Division

**SERIES:** 9610 3

**TITLE:** Administrative case files

**DATES:** 1980-

**ARRANGEMENT:** Numerical by case number

**ANNUAL ACCUMULATION:** 10.00 cubic feet.

**DESCRIPTION:**

These files document court cases that are handled by staff attorneys and include investigations of violations of Utah statutes that are not connected with State agencies. Information includes court documents, attorney work product, correspondence, research, litigation, and evidence.

**RETENTION:**

Retain for 15 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 12/1994

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year after case is closed and then transfer to State Records Center. Retain in State Records Center for 14 years and then destroy.

**APPRAISAL:**

These records have administrative, and/or historical value(s). This disposition is based on the secondary historical value to researchers interested in the administrative actions of the Attorney General's Office and the administrative needs expressed by the agency.

**AGENCY:** Attorney General's Office. Criminal Department. White Collar and Commercial Enforcement Division  
**SERIES:** 9610  
**TITLE:** Administrative case files

(continued)

**PRIMARY DESIGNATION:**

Public

**SECONDARY DESIGNATION(S):**

Protected. UCA 62-2-304(16) (2008)

**AGENCY:** Attorney General's Office. Criminal Department. White Collar and Commercial Enforcement Division

**SERIES:** 28922

3

**TITLE:** Commerce legal case files

**DATES:** 1989-

**ARRANGEMENT:** Alphabetical by case name, thereunder chronological by year.

**DESCRIPTION:**

The Attorney General's Office represents and provides general legal advice to the Department of Commerce in various legal matters, including administrative and judicial actions, legislative and administrative rules issues, and special projects. Records include investigative reports, memoranda, attorney and staff notes, correspondence, pleadings, audio and video recordings, legal research, court documents, and documentary evidence and exhibits.

**RETENTION:**

Retain for 15 year(s) after case is closed

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 10/2016

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year after case is closed and then transfer to State Records Center. Retain in State Records Center for 14 years and then destroy.

Computer data files: Retain in Office for 15 years after case is closed and then delete.

Sound recordings: Retain in Office for 15 years after case is closed and then erase.

Video recordings master: Retain in Office for 15 years after case is closed and then destroy.

**AGENCY:** Attorney General's Office. Criminal Department. White Collar and Commercial Enforcement Division  
**SERIES:** 28922  
**TITLE:** Commerce legal case files

(continued)

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

Public

**SECONDARY DESIGNATION(S):**

Protected. Utah Code 63G-2-305(17) and (18) (2015)  
Private. Utah Code 63G-2-302(2)(d) (2016)

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 10/2016.

**AGENCY:** Attorney General's Office. Criminal Department. White Collar and Commercial Enforcement Division

**SERIES:** 141

3

**TITLE:** Consumer protection case files

**DATES:** 1972-

**ARRANGEMENT:** Numerical by case number.

**ANNUAL ACCUMULATION:** 5.00 cubic feet.

**DESCRIPTION:**

These files document cases referred to the Attorney General's Office for litigation by the Department of Commerce, Division of Consumer Protection. An assistant attorney general representing the Division of Consumer Protection investigates violations of consumer protection statutes and conducts prosecutorial procedures against violators. There may be cases where no referral is made to the Attorney General's Office and are investigated and prosecuted by the Division of Consumer Protection. In addition, there are some cases that do not result in litigation. Information includes attorney work product, court documents, investigative reports, correspondence, and some evidence.

**RETENTION:**

Retain for 15 year(s)

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 03/1999

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year after case is closed and then transfer to State Records Center. Retain in State Records Center for 14 years and then destroy.

**APPRAISAL:**

These records have administrative value(s).

**AGENCY:** Attorney General's Office. Criminal Department. White Collar and Commercial Enforcement Division  
**SERIES:** 141  
**TITLE:** Consumer protection case files

(continued)

**PRIMARY DESIGNATION:**

Public                      Cases going to court are public

**SECONDARY DESIGNATION(S):**

Protected.                      Attorney work product and notes, commercially sensitive business information

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 07/2018.

**AGENCY:** Attorney General's Office. Criminal Department. White Collar and Commercial Enforcement Division

**SERIES:** 28923

3

**TITLE:** Corporations legal case files

**DATES:** 1989-

**ARRANGEMENT:** Alphabetical by case name, thereunder chronological by year.

**DESCRIPTION:**

The Attorney General's Office represents and provides general legal advice to the Department of Commerce, Division of Corporations in various legal matters, including administrative and judicial actions, legislative and administrative rules issues, and special projects, executed in order to restrain and prohibit corporations from acting illegally (Utah Code 67-5-1(13) (2016)). Records include investigative reports, memoranda, attorney and staff notes, correspondence, pleadings, audio and video recordings, legal research, court documents, and documentary evidence and exhibits.

**RETENTION:**

Retain for 15 year(s) after case is closed

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 10/2016

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year after case is closed and then transfer to State Records Center. Retain in State Records Center for 14 years and then destroy.

Computer data files: Retain in Office for 15 years after case is closed and then delete.

Sound recordings: Retain in Office for 15 years after case is closed and then erase.

Video recordings master: Retain in Office for 15 years after case is closed and then destroy.



**AGENCY:** Attorney General's Office. Criminal Department. White Collar and Commercial Enforcement Division  
**SERIES:** 28923  
**TITLE:** Corporations legal case files

(continued)

**APPRAISAL:**

These records have administrative value(s).

**PRIMARY DESIGNATION:**

Public

**SECONDARY DESIGNATION(S):**

Protected.	Utah Code 63G-2-305(17) and (18) (2015)
Private.	Utah Code 63G-2-302(2)(d) (2016)

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 10/2016.

**AGENCY:** Attorney General's Office. Criminal Department. White Collar and Commercial Enforcement Division

**SERIES:** 22220

3

**TITLE:** Division of Real Estate closed case files

**DATES:** 1993-

**ARRANGEMENT:** Alphabetical by surname or subject.

**ANNUAL ACCUMULATION:** 5.00 cubic feet.

**DESCRIPTION:**

These records are created and used in the course of the Attorney General's representation of the Department of Commerce, Division of Real Estate in various legal matters, including administrative and judicial actions, legislative and rules issues, real estate issues, special projects, and general legal advice. Information includes investigative reports, memoranda, attorney and staff notes, correspondence, pleadings, audio and video tapes, legal research, court documents, documentary evidence and exhibits, and photographs.

**RETENTION:**

Retain for 20 year(s) after case is closed

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 12/1999

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year after case closes and then transfer to State Records Center. Retain in State Records Center for 19 years and then destroy.

**APPRAISAL:**

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

This disposition is based on the administrative needs expressed by the agency for the purpose of conducting audits and litigation.

**AGENCY:** Attorney General's Office. Criminal Department. White Collar and Commercial Enforcement Division  
**SERIES:** 22220  
**TITLE:** Division of Real Estate closed case files

(continued)

**PRIMARY DESIGNATION:**

Public

**SECONDARY DESIGNATION(S):**

Private.	UCA 63G-2-302 (2008)
Protected.	UCA 63G-2-305 (2008)

**REVIEW AND UPDATE STATUS:**

This report was reviewed and updated on 11/2019.

**AGENCY:** Attorney General's Office. Criminal Department. White Collar and Commercial Enforcement Division

**SERIES:** 14213

3

**TITLE:** Occupational and professional licensing case files

**DATES:** 1975-

**ARRANGEMENT:** Alphabetical by case name, thereunder chronological by year

**ANNUAL ACCUMULATION:** 10.00 cubic feet.

**DESCRIPTION:**

These files are created by staff attorneys and document litigation involving the state of Utah and its agencies (Commerce-Occupational Licensing) as required by UCA 67-5-1(1) (1990). They include transcripts, case law, pleadings, correspondence, research, proceedings, briefs, trial transcripts, and motion copies. Additional information include age, appearance, assets, debts, birthdate and birthplace, family background, financial information, civil and criminal proceedings, medical information, psychiatric and psychological information, marital status, signature, social security number, tax information, and educational and employment history.

**RETENTION:**

Retain for 15 year(s) after case is closed

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 04/1999

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year after case is closed and then transfer to State Records Center. Retain in State Records Center for 14 years and then destroy.

**APPRAISAL:**

These records have administrative value(s).  
This disposition is based on the administrative needs expressed by the agency.

**AGENCY:** Attorney General's Office. Criminal Department. White Collar and Commercial Enforcement Division  
**SERIES:** 14213  
**TITLE:** Occupational and professional licensing case files

(continued)

**PRIMARY DESIGNATION:**

Protected

**AGENCY:** Attorney General's Office. Criminal Department. White Collar and Commercial Enforcement Division

**SERIES:** 9592

3

**TITLE:** Securities case files

**DATES:** 1989-

**ARRANGEMENT:** Numerical by case number

**ANNUAL ACCUMULATION:** 10.00 cubic feet.

**DESCRIPTION:**

These files document cases referred to the Attorney General's Office from the Department of Commerce, Securities Division, for litigation action. Assistant Attorney Generals that represent the Securities Division refer cases to be prosecuted when violations of Utah Security statutes are alleged to have occurred. Some of these investigations result in no litigation. Others are prosecuted by the Securities Division on their own. Information includes attorney work product, investigative reports, court documents, correspondence, research, and some evidence. Also, there may be some photographs, sound and video recordings included in the case files.

**RETENTION:**

Permanent. Retain for 10 year(s) after case is closed

**DISPOSITION:**

Transfer to Archives.

**RETENTION AND DISPOSITION AUTHORIZATION:**

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

**APPROVED:** 03/1999

**FORMAT MANAGEMENT:**

Paper: Retain in Office for 1 year after case is closed and then transfer to State Records Center. Retain in State Records Center for 9 years and then transfer to State Archives.

**APPRAISAL:**

These records have administrative value(s).  
This disposition is based on the administrative need expressed by the agency.

**AGENCY:** Attorney General's Office. Criminal Department. White Collar and Commercial Enforcement Division  
**SERIES:** 9592  
**TITLE:** Securities case files

(continued)

**PRIMARY DESIGNATION:**

Public                      All cases that go to court are public

**SECONDARY DESIGNATION(S):**

Protected.                      Attorney work product, commercially sensitive business information