

JUDICIARY - STATE OF NEW JERSEY RECORDS RETENTION SCHEDULE		SCHEDULE: OFFICE OF ATTORNEY ETHICS (OAE)	
DIRECTIVE #3-01		DATE: March 16, 2001	
This retention schedule has been adopted in accordance with Rule 1:32-2 of the Rules Governing the Courts of the State of New Jersey and N.J.S.A. 2B of the New Jersey Statutes Annotated.			
SERIES NO	RECORD TITLE AND DESCRIPTION	RETENTION PERIOD	DISPOSITION
23-01-00	Annual Attorney Registration Statements Attorneys admitted to practice law in the State of New Jersey must submit annually a registration statement which accompanies their Clients' Security Fund billing card. Information includes: name, home address, law school attended, law office address, trust and business bank account numbers. Information is used to update the Judiciary data base. See, Rules Governing the Courts of New Jersey 1:20-1(c).	1 year	Destroy
23-02-00	Ethics Files On an annual basis, closed case files are transferred from local District Ethics Committees to the Office of Attorney Ethics. Records may include: Attorney Grievance Form, evidence, correspondence, investigative report, dismissal, letter of notice of disposition, formal complaint, formal answer, transcripts. Cases involving private or public discipline are forwarded to the Disciplinary Review Board (DRB) for further action. See Rules Governing the Courts of New Jersey 1:20-9(i).	Five (5) years after case is closed or one (1) year after attorney's death. [R. 1:20-9(i)]	Destroy

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23-03-00	<p>Fee Arbitration Files</p> <p>Case files transferred from local District Fee Arbitration Committees to the Office of Attorney Ethics. Records include: Request for Fee Arbitration OAE, Attorney Fee Response OAE, Arbitration Determination OAE, Stipulation of Settlement OAE, supporting papers. See Rules Governing the Courts of New Jersey R. 1:20-9(i).</p>	Five (5) years after case is closed or one (1) year after attorney's death. [R. 1:20-9(i)]	Destroy
23-04-00	<p>Summary of docketed ethics and fee matters.</p> <p>Summary information includes name of respondent and grievant or client, brief summary of nature and disposition and date case opened or closed. See, Rules Governing the Courts of New Jersey 1:20-9(i).</p>	Permanent	Permanent
23-05-00	<p>Random Audit Files</p> <p>The Office of Attorney Ethics is responsible for administering the Random Audit Compliance Program, whereby attorneys' offices are randomly selected for financial audit. Records include: selection letter, auditor's summary, checklist of deficiencies, deficiency letter to attorney. See, Rules Governing the Courts of New Jersey 1:20-2(b)(9) and 1:21-6(c).</p>	7 years	Destroy

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23-06-00	Fee Processing and other Financial Records	See FINANCIAL RECORDS SCHEDULE	
23-07-00	OAE / DRB Voucher Used as a vendor invoice.	7 years	Destroy

HISTORICAL NOTE:

This schedule is a compilation of items from the following schedules:

- ? Office of Attorney Ethics (Rev. 6/24/87)
- ? Ethics & Professional Services (Rev. 6/22/87)