

571—78.7(456A) Dealers—record keeping.

78.7(1) Contents of records. Each permitted ginseng dealer shall keep individual, accurate, legible and complete records of each ginseng transaction. The records shall be on forms prescribed by the department, which shall provide a reasonable number of these forms at no cost to the dealer. The dealer's record of each ginseng transaction shall include:

- a. The date of transaction; and
- b. The name and address of the buyer or seller, whichever is applicable for the transaction; and
- c. The harvester's permit number or dealer's permit number, if a dealer is buying ginseng in the transaction; and
- d. A description of the ginseng transacted, including the actual weight of the ginseng transacted and whether the ginseng is dried or green. If the ginseng is green ginseng, the weight shall also be converted to the dried weight of ginseng according to the ratio in rule 571—78.3(456A); and
- e. The name of the county or counties where the ginseng was harvested if the ginseng is purchased from a harvester; and
- f. A copy of the ginseng's certificate of origin, signed by the seller, if applicable; and
- g. The year of harvest for the ginseng bought or sold; and
- h. Any additional information as requested by the department and included on the department's form.

78.7(2) Monthly reporting. Each dealer shall submit to the department copies of all records required by subrule 78.7(1) on a monthly basis, no later than the fifteenth day of each month.

78.7(3) Annual reporting. Each dealer shall file an annual report with the department, which shall be delivered or postmarked by April 15. The annual report shall be filed on forms provided by the department and shall include the following information:

- a. A summary of all the dealer's transactions during the preceding license year, from April 1 through March 31, including sales to out-of-state persons; and
- b. An inventory of any roots remaining in the dealer's possession in Iowa as of April 1, including the roots' certified weight and designation as either wild ginseng or cultivated ginseng, or a statement that the dealer has no roots remaining in the dealer's possession in Iowa as of that date. Any certification regarding a root's weight as required by this subrule shall be completed through the department or its agents at locations designated by the department, upon appointment.
- c. Any roots carried over from one license year to the next shall be documented on the following license year's reports.

78.7(4) Records retention. All records required by this rule shall be kept by the dealer for a period of three years after the expiration of the dealer's permit.

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