



A.M. BEST COMPANY, INC.

Form NRSRO: Exhibit 7

Compliance Regulatory Recordkeeping

Paragraphs (b)(4) and (b)(5) of Rule 17g-2 of the Exchange Act require A.M. Best, as a Nationally Recognized Statistical Rating Organization (NRSRO), to retain and/or furnish certain records/reports to the Securities and Exchange Commission (SEC) upon request.

1. **Records required to be retained:** A NRSRO must retain the following books and records, which must be complete and current:
 - 1.1 Internal audit plans, internal audit reports, documents relating to internal audit follow-up measures, and all records identified by the internal auditors of A.M. Best as necessary to perform the audit of an activity that relates to its business as a credit rating agency.
 - 1.2 Compliance reports and compliance exception reports.
 - 1.2.1 Quarterly compliance reports required pursuant to Policy C-5.
 - 1.2.2 Any other reports that identify activities of A.M. Best that the Compliance Officer determined raised, or did not raise, compliance and control issues.

Note to 1.2.2: Any final compliance reports, where the subject activity of the report was initiated as a result of information received from a “whistleblower,” will be drafted in a manner to protect the identity of the whistleblower.
2. **Requirement to furnish records/reports upon request:** A.M. Best must furnish the SEC or its representatives with legible, complete, and current copies, of those records/reports required to be retained pursuant to section 1 of this policy, or any other records of A.M. Best subject to examination under section 17(b) of the Securities Exchange Act (15 U.S.C. 78q(b)) that are requested by the SEC or its representatives.
3. **Record retention periods:** The records/reports required to be retained pursuant to section 1 of this policy must be retained for three years after the date the record is made or received.
 - 3.1 **Manner of retention:** An original, or a true and complete copy of the original, of each record required to be retained pursuant to this policy must be maintained in a manner that makes the original record or copy easily accessible to the principal office of A.M. Best.

