

Request for Records Disposition Authority

Records Schedule Number	DAA-0180-2016-0002
Schedule Status	Approved
Agency or Establishment	Commodity Futures Trading Commission
Record Group / Scheduling Group	Records of the Commodity Futures Trading Commission
Records Schedule applies to	Agency-wide
Schedule Subject	Examinations of Registered Entities and Intermediaries
Internal agency concurrences will be provided	No
Background Information	<p>Registered Entities may include but are not limited to: self-regulatory organizations (SRO) (i.e., designated self-regulatory organizations (DSRO) such as the National Futures Association (NFA) and designated contract markets (DCM)); derivatives clearing organizations (DCO); swap execution facilities (SEF); and swap data repositories (SDR).</p> <p>Intermediaries may include but are not limited to: swap dealers (SD); major swap participants (MSP); futures commission merchants (FCM); introducing brokers (IB); retail foreign exchange dealers (RFED); commodity pool operators (CPO); and commodity trading advisors (CTA).</p> <p>This record series covers any examination, audit, or review or an Entity's or Intermediary's compliance with applicable statutes, regulations, or rulings (together described as "Examinations"). Examinations may include but are not limited to:</p> <ul style="list-style-type: none">- SRO & NFA Compliance Reviews and other Reviews- Reviews of NFA Actions and Rules, including Review of Disclosure Documents Assessment program- DSRO Reviews (including core principle reviews and others)- DCO Reviews (including core principle reviews and others)- Rule Enforcement Reviews- Horizontal Rule Enforcement Reviews- 8c Reviews- Compliance Reviews and other reviews of FCMs, IBs, CPOs, & CTAs- FCM Risk Audits (17 CFR 1.73)

Examinations may be performed by agency staff or by the NFA staff, where the Commission has delegated authority for performing certain Examinations to NFA. Examinations may take the form of an audit (desk or onsite), limited review, or other type of Examination, which may be formal or informal, lengthy or cursory.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
3	0	3	0

GAO Approval

Outline of Records Schedule Items for DAA-0180-2016-0002

Sequence Number	
1	Final Reports & Corrective Activity Records Disposition Authority Number: DAA-0180-2016-0002-0001
2	Staff Working Papers & Supporting Documents Disposition Authority Number: DAA-0180-2016-0002-0002
3	Documents received from Registered Entities or Intermediaries Disposition Authority Number: DAA-0180-2016-0002-0003

Records Schedule Items

Sequence Number	
1	<p>Final Reports & Corrective Activity Records</p> <p>Disposition Authority Number DAA-0180-2016-0002-0001</p> <p>Final reports of examinations; copies of administrative actions; corrective plans; correspondence related to the final report or corrective plan; and other related records.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>GRS or Superseded Authority Citation N1-180-00-1 / 517</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Close and cut off file when Examination is completed, abandoned, or otherwise final.</p> <p>Transfer to Inactive Storage If desired, transfer to offsite records storage when 3 years old or when volume warrants.</p> <p>Retention Period Destroy 10 year(s) after cut off.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Staff Working Papers & Supporting Documents</p> <p>Disposition Authority Number DAA-0180-2016-0002-0002</p> <p>Staff working papers and supporting documents related to examinations including; engagement letters, examination scope letters, notices or filings, staff analyses; audit program records; checklists; substantive correspondence, and other related records. These records are created by CFTC staff or the staff of the National Futures Associations (NFA) in cases where the Commission has delegated examining authority to the NFA.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p>

	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	This item partially supersedes N1-180-00-001 / 508, specifically the authority for the following records: "examination work papers, related correspondence.
	Disposition Instruction	
	Cutoff Instruction	Close and cut off file when Examination is completed, abandoned, or otherwise final.
	Transfer to Inactive Storage	If desired, transfer to offsite records storage when 3 years old or when volume warrants.
	Retention Period	Destroy when no longer needed, but no sooner than 3 years after cut off and no longer than 10 years after cut off.
	Additional Information	
	GAO Approval	Not Required
3	Documents received from Registered Entities or Intermediaries	
	Disposition Authority Number	DAA-0180-2016-0002-0003
	Documents received from Registered Entities or Intermediaries to facilitate an examination of that Entity or Intermediary.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	This item partially supersedes N1-180-00-001 / 508, specifically the authority for the following records: "examination work papers, related correspondence.
	Disposition Instruction	

Cutoff Instruction	Close and cut off file when Examination is completed, abandoned, or otherwise final.
Transfer to Inactive Storage	If desired, transfer to offsite records storage when 3 years old or when volume warrants.
Retention Period	Destroy when no longer needed, but no sooner than 3 years after cut off and no longer than 10 years after cut off.
Additional Information	
GAO Approval	Not Required

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
05/25/2016	Certify	Crystal Zeh	Records Management Officer	Office of the Executive Director - Executive Secretariat Branch
05/26/2016	Return for Revision	Elizabeth Greenberg-Taubel	Appraisal Archivist	National Archives and Records Administration - Records Management Services
05/26/2016	Submit For Certification	Crystal Zeh	Records Management Officer	Office of the Executive Director - Executive Secretariat Branch
05/26/2016	Certify	Crystal Zeh	Records Management Officer	Office of the Executive Director - Executive Secretariat Branch
07/26/2016	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
09/12/2016	Submit For Certification	Crystal Zeh	Records Management Officer	Office of the Executive Director - Executive Secretariat Branch
09/12/2016	Certify	Crystal Zeh	Records Management Officer	Office of the Executive Director - Executive Secretariat Branch
11/08/2016	Submit for Concurrence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
11/09/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services

11/09/2016	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
11/10/2016	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist