

Request for Records Disposition Authority

Records Schedule Number DAA-0180-2017-0001
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 Registered Entity Applications and Related Records
Internal agency concurrences will be provided No

Background Information

Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 1 | 0 | 1 | 0 |

GAO Approval

Outline of Records Schedule Items for DAA-0180-2017-0001

| Sequence Number | |
|-----------------|---|
| 1 | Registered Entity Applications and Related Records Disposition Authority Number: DAA-0180-2017-0001-0001 |

Records Schedule Items

| Sequence Number | |
|-----------------|---|
| 1 | <p data-bbox="358 421 1063 457">Registered Entity Applications and Related Records</p> <p data-bbox="358 470 1133 506">Disposition Authority Number DAA-0180-2017-0001-0001</p> <p data-bbox="358 525 1489 1151">Registered Entities include: - designated contract markets (DCM) - derivatives clearing organizations (DCO) - swap execution facilities (SEF) - swap data repositories (SDR) Records include applications, or amendments or supplements to an application, for registration or designation as a registered entity submitted in accordance with: 17 CFR § 38.3 and Appendix A to Part 38 (DCM); 17 CFR § 39.3 and, Appendix A to Part 39 (DCO); 17 CFR § 37.3 and Appendix A to Part 37 (SEF); and 17 CFR § 49.3 and Appendix A to Part 49 (SDR). Records also include Subpart C elections, which may be submitted by DCO applicants or registered DCOs pursuant to 17 CFR § 39.31 and Appendix B to Part 39. The Dodd-Frank Act of 2010 eliminated multi-lateral clearing organizations (MCOs), however, the Commission, as of the writing of this schedule, still maintains some application records of MCOs, which are covered by this schedule. Records also include DCO registration exemption petitions submitted pursuant to CEA § 5b(h), which allows the Commission to exempt a DCO for clearing swaps. Records may also include: significant correspondence with the applicant about its application and exhibits; copies of public comments; draft Commission orders; and staff work product related to the review of the application .</p> <p data-bbox="358 1170 911 1206">Final Disposition Temporary</p> <p data-bbox="358 1223 846 1259">Item Status Active</p> <p data-bbox="358 1276 816 1312">Is this item media neutral? Yes</p> <p data-bbox="358 1330 802 1451">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 data-bbox="358 1468 1489 1617">GRS or Superseded Authority Citation This item partially supersedes N1-180-00-001 / 502, specifically the authority for the following records: "Exchange submissions for contract market designations."</p> <p data-bbox="358 1649 662 1685">Disposition Instruction</p> <p data-bbox="358 1702 1442 1823">Cutoff Instruction Textual records: Cut off at the end of the calendar year in which the file is closed. Electronic records: Cut off when the file is closed.</p> <p data-bbox="358 1840 1453 1910">Transfer to Inactive Storage Textual records: Transfer to offsite records storage when 3 years old or when volume warrants.</p> |

| | |
|------------------|-----------------------------------|
| Retention Period | Destroy 10 year(s) 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 |
|------------|------------------------|------------------|---|---|
| 10/20/2016 | Certify | Crystal Zeh | Records Management Officer | Office of the Executive Director - Executive Secretariat Branch |
| 06/09/2017 | Submit for Concurrence | Lloyd Beers | Appraisal Archivist | National Archives and Records Administration - ACNR Records Management Services |
| 06/19/2017 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - ACNR Records Management Services |
| 06/19/2017 | Concur | Margaret Hawkins | Director of Records Management Services | National Records Management Program - ACNR Records Management Services |
| 06/21/2017 | Approve | David Ferriero | Archivist of the United States | Office of the Archivist - Office of the Archivist |