

INACTIVE - ALL ITEMS SUPERSEDED

Request for Records Disposition Authority

Records Schedule Number DAA-0180-2017-0001
Schedule Status Modified Approved Version

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of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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

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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

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Records Schedule Items

Sequence Number	
1	<p data-bbox="345 380 1078 411">Registered Entity Applications and Related Records</p> <p data-bbox="345 432 1149 464">Disposition Authority Number DAA-0180-2017-0001-0001</p> <p data-bbox="345 485 1516 1125">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="345 1146 915 1178">Final Disposition Temporary</p> <p data-bbox="345 1199 870 1230">Item Status Inactive</p> <p data-bbox="345 1251 818 1283">Is this item media neutral? Yes</p> <p data-bbox="345 1304 802 1440">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="345 1461 1500 1598">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="345 1619 1484 1734">Inactive Status Explanation This item is inactive because it was superseded by New Disposition Authority Number: DAA-0180-2019-0001-0001</p> <p data-bbox="345 1776 659 1808">Disposition Instruction</p> <p data-bbox="345 1829 1468 1944">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>

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Transfer to Inactive Storage

Textual records: Transfer to offsite records storage when 3 years old or when volume warrants.

Retention Period

Destroy 10 year(s) after cut off.

Additional Information

GAO Approval

Not Required

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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

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