

Request for Records Disposition Authority

Records Schedule Number **DAA-0180-2019-0001**
 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 **Derivatives Oversight and Compliance**
 Internal agency concurrences will be provided **No**

Background Information **Records covered by this schedule document the CFTC’s efforts to oversee and promote fair, stable markets through registration and designation, review, monitoring, and evaluation of registered entities and intermediaries to include:**

- Evaluation of applications for designation or registration as registered entities;
- Review of new contracts and rules and changes to contracts and rules,
- Continual surveillance and research of trading activity in the derivatives markets,
- Examination of registered entities and intermediaries for compliance with the applicable statutory and regulatory requirements,
- Evaluation, analysis, and reduction of the risk of disruptions to clearing and settlement systems for cleared transactions, and
- Protection of the funds that customers and swap counterparties entrust to entities

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	0	6	0

GAO Approval

Outline of Records Schedule Items for DAA-0180-2019-0001

Sequence Number	
1	Registration of Entities Disposition Authority Number: DAA-0180-2019-0001-0001
2	Continued Financial and Compliance Oversight Disposition Authority Number: DAA-0180-2019-0001-0002
3	Economic Research and Risk Oversight Disposition Authority Number: DAA-0180-2019-0001-0003
4	Criteria, Metrics, and Formulas Disposition Authority Number: DAA-0180-2019-0001-0004
5	Risk Rankings Disposition Authority Number: DAA-0180-2019-0001-0005
6	Transaction Oversight and Reporting Disposition Authority Number: DAA-0180-2019-0001-0006

Records Schedule Items

Sequence Number					
1	<p>Registration of Entities</p> <p>Disposition Authority Number DAA-0180-2019-0001-0001</p> <p>Documents the submission, review, and approval of applications and related amendments for registration or designation as registered entities or intermediaries, in accordance with the Commodity Exchange Act (CEA) and Commission regulations. Systems that store these records include but are not limited to Background Affiliation Status Information Center (BASIC), Electronic Filing Cabinet (EFC), Fitness Image, Online Registration System (ORS), and the Fingerprint system. Examples include but are not limited to - Applications for registration and designation, including entities representing foreign registrants - Documentation submitted during registration that provides evidence of compliance with core principles - Requests for exemption or exception from registration - Requests or applications for vacation of or withdrawal from registration - Decision memoranda and supporting documentation - Draft Commission orders and work product related to review of the application. - Registration fitness investigations, including investigative reports describing disciplinary history for applicants subject to investigation or litigation. Also includes any correspondence, interoffice memos, reports, studies, and related material dealing with exchange disciplinary actions. - Significant correspondence with the applicant about its application and exhibits. - Directories and listings, or any related tracking lists or indexes that support this function.</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? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Manual Citation</th> <th style="width: 50%;">Manual Title</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">310</td> <td></td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation N1-180-00-001 / 504 N1-180-00-001 / 505 N1-180-00-001 / 507 N1-180-00-001 / 518/a</p>	Manual Citation	Manual Title	310	
Manual Citation	Manual Title				
310					

N1-180-00-001 / 518/b
DAA-0180-2017-0001-0001

Disposition Instruction

Cutoff Instruction	Cut-off when the file is closed
Transfer to Inactive Storage	If desired, transfer to offsite records storage when three 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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Continued Financial and Compliance Oversight

Disposition Authority Number	DAA-0180-2019-0001-0002
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Documents the CFTC's ongoing oversight of registered entities and intermediaries. This oversight includes the receipt, review, and analysis of documentation such as financial statements, compliance reports, products and rules, and other required information provided by registered entities and intermediaries. Systems that store these records include but are not limited to Regulatory Statement Review (RSR), ORS, FACTS 2000 system, Teammate, FILAC, and Valuation Analysis Utility and Liquidity Tool (VAULT). Examples include but are not limited to: - Information received from registered entities and intermediaries that demonstrate evidence of compliance with financial requirements and other applicable regulations. This information may include financial reports, financial statement data and notes, disclosure reports, report review forms of audit branch staff that are not the subject of investigation or litigation, and related registrant data. - Information received from registered entities and intermediaries that demonstrate continuing compliance, including proposed new rules or rule amendments, submissions of new products for listing, and submission of swaps for clearing requirement determination. - Notifications, delivery notices, and correspondence related to registered entities and intermediaries' ongoing activities and violations of requirements such as speculative positions, adjusted net capital, etc. Includes logbooks or indexes of violations. - Reports, data, and correspondence documenting the establishment and maintenance of anti-money laundering programs or other financial oversight and compliance programs as required by the Commodity Exchange Act (CEA) and CFTC regulations. Includes any information received regarding prohibitions and restrictions on proprietary trading and permitted underwriting and risk mitigation activities. - Reports, working papers and other information resulting from analysis, research, and review of the information collected.

Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes

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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**

Manual Citation	Manual Title
330	

GRS or Superseded Authority Citation
 N1-180-00-001 / 500
 N1-180-00-001 / 502
 N1-180-00-001 / 503
 N1-180-00-001 / 506
 N1-180-00-001 / 508
 N1-180-00-001 / 512/B
 N1-180-00-001 / 513
 N1-180-09-002 / 1/B/1
 N1-180-09-002 / 1/B/3
 N1-180-09-002 / 1/B/4/A
 N1-180-09-002 / 1/B/4/B
 N1-180-09-002 / 1/B/5
 N1-180-09-002 / 1/B/6

Disposition Instruction

Cutoff Instruction Cut-off upon completion of action or contract, whichever is appropriate

Retention Period Destroy 5 year(s) after cut-off

Additional Information

GAO Approval Not Required

Economic Research and Risk Oversight

Disposition Authority Number DAA-0180-2019-0001-0003

Documents the CFTC's efforts to identify changes within the market, reveal areas of risk, research economic trends, assess the impact of registered entities and intermediaries' activities, and detect and prevent disruptions or fraudulent activities within the market. Systems that store these records include but are not limited to Stressing Positions at Risk (SPARK). Examples include but are not limited to - Information received from registered entities and intermediaries for the purpose of research or reviewing and analyzing potential risk Information may include hedge fund reports and supporting data, firm financial data, currency conversion rates, risk exposure reports, and monthly margin rate reports and related data -

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Supporting information used to examine risk such as currency conversion data - Reports, research, significant correspondence, and other information resulting from analysis and review of the information collected, such as summary reports, trader risk review reports, benchmark monthly margin reports, major market move reports, daily price reports, and other documentation

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

Manual Citation	Manual Title
340	

GRS or Superseded Authority Citation N1-180-09-004 / 2
N1-180-09-004 / 3
N1-180-09-004 / 4
N1-180-09-004 / 6
N1-180-09-004 / 7
N1-180-09-004 / 10
N1-180-09-004 / 11
N1-180-09-004 / 12
DAA-0180-2014-0001-0003

Disposition Instruction

Cutoff Instruction Cut-off at the end of the fiscal year in which the review is completed

Retention Period Destroy 10 year(s) after cut-off

Additional Information

GAO Approval Not Required

Criteria, Metrics, and Formulas

Disposition Authority Number DAA-0180-2019-0001-0004

Documents the methods and criteria used to analyze the activities of registered entities and intermediaries and the data they provide. Systems that store these records include but are not limited include the Regulatory Statement Review (RSR), Statistical Analysis System (SAS), and Global Risk systems Examples

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include but are not limited to - Formulas used to evaluate and analyze market data and/or to highlight areas of concern, inconsistencies, or areas of risk - Hypothetical scenarios and projections used to assess areas of risk to the markets.

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

Manual Citation	Manual Title
341	

GRS or Superseded Authority Citation N1-180-09-002 / 1/B/2
DAA-0180-2014-0001-0001

Disposition Instruction

Retention Period Destroy when superseded or obsolete, but no sooner than when 3 years old

Additional Information

GAO Approval Not Required

Risk Rankings

Disposition Authority Number DAA-0180-2019-0001-0005

Documents, lists, or ranks registered entities and intermediaries whose positions may pose a risk to the markets or clearing firms Examples include the largest net long or net short positions, or other risk factors identified through analysis of their activities Systems that store these records include but are not limited to Stressing Positions at Risk (SPARK)

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

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Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
342	

GRS or Superseded Authority Citation **N1-180-09-004 / 5**
N1-180-09-004 / 8
N1-180-09-004 / 9

Disposition Instruction

Retention Period **Destroy when 3 years old**

Additional Information

GAO Approval **Not Required**

Transaction Oversight and Reporting

Disposition Authority Number **DAA-0180-2019-0001-0006**

Documents the day-to-day oversight, monitoring, review, and reporting of the market and registered entities and intermediaries trading activities, such as transactions, positions, contracts, prices, and volume. Examples include but are not limited to: - Alerts, complaints, or referrals that recommend closer review or oversight of trading activities and any resulting analysis or review initiated to identify any potential trading violations or detect market manipulation. This does not include any final reports published for public use or that document historical or significant actions and decisions taken by the CFTC - Internal reports and research on submitted information and related oversight activities including notes, findings, conclusions correspondence, substantial working papers and any other related records - Information obtained from registered entities and intermediaries as part of "special calls." This item does not cover the following records - Any market reports or analyses summarizing or aggregating economic data in either narrative or statistical format, and published for industry or public use, or used to create or update CFTC official policies, and associated raw data or databases maintained by the Office of Data and Technology in support of these functions

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**

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Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
360	

GRS or Superseded Authority Citation **N1-180-00-001 / 510
N1-180-00-001 / 519/C
N1-180-09-003 / 20**

Disposition Instruction

Retention Period **Destroy when 10 years old**

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
04/15/2019	Certify	Crystal Zeh	Records Management Officer	Office of the Executive Director - Executive Secretariat Branch
11/21/2019	Submit for Concurrence	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
11/27/2019	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
12/02/2019	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
12/04/2019	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

ITEM	BUCKET TITLE	New Retention	Series Level Cut off Instructions, where applicable	Current Series Title include file / manual code if applicable	Superseded Authority	Superseded Retention	FOR PERMANENT RECORDS Office of Record*
DAA-0180-2019-0001-0001	Registration of Entries	Temporary - Destroy 10 years after cut-off	If desired, transfer to offsite records storage when three years old or when volume warrants	Applications for Registration	N1-180-00-00 / 1/504	Temporary After registrant becomes inactive, records retained at NFA for 2 years, then retained off-site for 8 years Destroy 10 years after registrant becomes inactive or when no longer needed, whichever is longer	n/a
				Registration Fitness Investigations	N1-180-00-00 / 1/505	Temporary Destroy 10 years after case closed	
				Registration Directories	N1-180-00-00 / 1/507	Temporary Destroy when 10 years old or when no longer needed, whichever is longer	
				Disciplinary Actions-paper records	N1-180-00-00 / 1/518/a	Temporary Close when complete, destroy 10 years after close	
				Disciplinary Actions-electronic records	N1-180-00-00 / 1/518/b	Temporary Destroy 10 years after close or when no longer needed, whichever is longer	
				Registered Entity Applications and Related Records	DAA-0180-2017-0001-0001	Temporary 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 Destroy 10 years after cut off	
DAA-0180-2019-0001-0002	Continued Financial and Compliance Oversight	Temporary -Destroy 5 years after cut-off	Cut-off upon completion of action or contract, whichever is appropriate	Records Related to Rule Review	N1-180-00-001 / 500	Temporary Destroy 10 years after date of submission or when no longer needed, whichever is longer	n/a
				Contract Market Designation and Rule Change Reviews	N1-180-00-001 / 502	Temporary Transfer to off-site storage 3 years after vacation of designation Destroy 20 years after designation is vacated	
				Changes to Terms and Conditions of Contracts	N1-180-00-001 / 503	Temporary Destroy 2 years after end of FY	
				Registrant Financial Reports and Disclosure Documents	N1-180-00-001 / 506	Temporary Destroy when 5 years old	
				Financial Surveillance Files	N1-180-00-001 / 508	Temporary Destroy work papers and correspondence files 5 years after completion of audit unless litigation is involved (in which case file becomes litigation file under 303-06) Destroy correspondence file documents 5 years after generation unless document relates to current registrant/SRO policies and procedures	
				Records Relating to Deliveries	N1-180-00-001 / 512/B	Temporary Destroy when 5 years old	
				Log Book of Speculative Limit Violations	N1-180-00-001 / 513	Temporary Destroy 5 years after end of FY	
				System Content-Financial statement data and notes	N1-180-09-002 / 1/B/1	Delete 5 years after the statement date	
				Registrant (firm) data	N1-180-09-002 / 1/B/3	Temporary Delete when there are no longer any financial statements for a particular registrant in system	
				PIN agreements and data before 1/2010 pin numbers, tax IDs, and PIN agreements	N1-180-09-002 / 1/B/4/A	Temporary Destroy/delete 5 years after the end date of PIN agreement	
				PIN agreements and data after 1/2010 tax IDs	N1-180-09-002 / 1/B/4/B	Temporary Destroy/delete 5 years after the end date of PIN agreement	
				Notice letters and data entered into the system regarding notices	N1-180-09-002 / 1/B/5	Temporary Delete 5 years after the notice date	
				Entry data	N1-180-09-002 / 1/B/6	Temporary Delete 5 years after then end date of a contact	
DAA-0180-2019-0001-0003	Economic Research and Risk Oversight	Temporary -Destroy 10 years after cut-off	Cut-off at the end of the fiscal year in which the review is completed	Contracts data	N1-180-09-004 / 2	Temporary Delete when 10 years old or when no longer needed for business purposes, whichever is longer	n/a

ITEM	BUCKET TITLE	New Retention	Series Level Cut off Instructions, where applicable	Current Series Title include file / manual code if applicable	Superseded Authority	Superseded Retention	FOR PERMANENT RECORDS Office of Record*
				Margin rate data for flagship contracts	N1-180-09-004 / 3	Temporary Delete when 10 years old or when no longer needed for business purposes, whichever is longer	
				Margin rate data for all other contracts	N1-180-09-004 / 4	Temporary Delete when 10 years old	
				Margin by trader data	N1-180-09-004 / 6	Temporary Delete when 10 years old	
				Hedge fund report and supporting data	N1-180-09-004 / 7	Temporary Delete when 3 years old	
				Firm financial data	N1-180-09-004 / 10	Temporary Delete when superseded	
				Currency conversion rates	N1-180-09-004 / 11	Temporary Delete when 10 years old or when no longer needed for business purposes, whichever is longer	
				Monthly margin report data	N1-180-09-004 / 12	Temporary Delete when data from a designated cleaning organization has not been received for 10 years old	
				Reports and Other Documentation Resulting from Review/Analysis of Hypothetical Fiscal Projection Data Output	DAA-0180-2014-0001-0003	Temporary - Cut off when report finalized Destroy 10 years after cutoff	
DAA-0180-2019-0001-0004	Criteria, Metrics, and Formulas	Temporary -Destroy when superseded or obsolete but not earlier than 3 years	n/a	System Content-Edit check formulas	N1-180-09-002 / 1/B/2	Temporary Delete when system is no longer operational	n/a
				Scenarios	DAA-0180-2014-0001-0001	Delete when superseded or obsolete	
DAA-0180-2019-0001-0005	Risk Rankings	Temporary -Destroy when 3 years old	n/a	Top traders by contract data	N1-180-09-004 / 5	Temporary Delete when 3 years old	n/a
				New York Mercantile Exchange watch list data	N1-180-09-004 / 8	Temporary Delete when 3 years old	
				CFTC watch list data	N1-180-09-004 / 9	Temporary Delete 3 years after end date	
DAA-0180-2019-0001-0006	Transaction Oversight and Reporting	Temporary -Destroy when 10 years old	n/a	Trade Practice Investigations	N1-180-00-001 / 510	Temporary Destroy when 10 years old	n/a
				Reports	N1-180-00-001 / 519/C	Temporary Destroy 10 years after the end of the fiscal year in which the data was submitted	
				Final Submissions	N1-180-09-003 / 20	Temporary Destroy>Delete when 10 years old	