

Request for Records Disposition Authority

Records Schedule Number DAA-0180-2019-0001

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 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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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 data-bbox="345 384 667 415">Registration of Entities</p> <p data-bbox="345 436 1149 468">Disposition Authority Number DAA-0180-2019-0001-0001</p> <p data-bbox="345 489 1511 1213">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 data-bbox="345 1234 919 1266">Final Disposition Temporary</p> <p data-bbox="345 1287 849 1318">Item Status Active</p> <p data-bbox="345 1339 818 1371">Is this item media neutral? Yes</p> <p data-bbox="345 1392 818 1518">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 data-bbox="345 1539 818 1633">Do any of the records covered by this item exist as structured electronic data? Yes</p> <table border="1" data-bbox="345 1665 1533 1770"><thead><tr><th data-bbox="345 1665 938 1707">Manual Citation</th><th data-bbox="938 1665 1533 1707">Manual Title</th></tr></thead><tbody><tr><td data-bbox="345 1707 938 1770">310</td><td data-bbox="938 1707 1533 1770"></td></tr></tbody></table> <p data-bbox="345 1801 1084 1953">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

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**

6

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