

Request for Records Disposition Authority

Records Schedule Number DAA-0180-2021-0002

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 Major Subdivision

Major Subdivision Division of Enforcement

Schedule Subject Closed Matter Summary Records

Internal agency concurrences will be provided No

Background Information The Division of Enforcement (DOE) uses the high-level summaries of the closed matters to track the history of the program and to respond to certain requests from the CFTC’s Chairperson and Commissioners and to Congressional inquiries. The summary information provides a high-level history of all matters brought to the DOE regardless of outcome. This information is used internally to track the success of the program, monitor repeat offenders over time, and to support budget and staffing requests. It is also used to respond to various Congressional requests and as an exhibit of the successful execution of CFTC’s enforcement mission.

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Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items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-0180-2021-0002

Sequence Number

1	Closed Matter Summary Records Disposition Authority Number: DAA-0180-2021-0002-0001
---	--

Records Schedule Items

Sequence Number	
1	<p>Closed Matter Summary Records</p> <p>Disposition Authority Number DAA-0180-2021-0002-0001</p> <p>Records consist of high-level summaries of matters (preliminary inquiries, investigations, and litigated cases) closed by the Division of Enforcement. The summary information may include matter type; matter profile information; party (ies) involved; matter open and close dates; matter closing reports; brief description of the activity investigated; and assigned staff.</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> <p>GRS or Superseded Authority Citation DAA-0180-2015-0003-0001</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff records at the end of the FY in which the matter was closed</p> <p>Retention Period Destroy 50 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>

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
11/03/2020	Certify	Crystal Zeh	Records Management Officer	Office of the Executive Director - Executive Secretariat Branch
01/12/2021	Return for Revision	Esther Hidalgo	Archives Specialist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
04/28/2021	Submit For Certification	Kimberly Neutzling	Records Specialist	CFTC - CFTC
04/28/2021	Certify	Crystal Zeh	Records Management Officer	Office of the Executive Director - Executive Secretariat Branch
06/03/2021	Submit for Concurrence	Esther Hidalgo	Archives Specialist	National Archives and Records Administration - ACR1 AC Appraisal Team 1
06/09/2021	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
06/15/2021	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
06/16/2021	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist