

National Archives and Records Administration  
REQUEST FOR DISPOSITION AUTHORITY

Records Schedule Number: DAA-0180-2022-0003

Status: APPROVED  
Date Approved: 07/17/2023

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## General Information

Agency or Establishment	Commodity Futures Trading Commission
Record/Scheduling Group	0180 - Records of the Commodity Futures Trading Commission
Records Schedule Applies To	Agency-wide
Schedule Subject	Mission Commodity Data
Additional Schedule Information	Records covered by these schedules include data submitted to CFTC by market participants, other acquired data or data sets created by CFTC staff. The Commission may store these data as raw data, as aggregated data sets, snapshots of data that cover specific time ranges or market events, or high-level summaries of data. Drawing from these data lakes, staff can integrate and combine data sets creating rich data mash-up. This gives CFTC staff ability to consume and analyze more data in less time.
Is There a Classified Version of This Schedule?	No
Is consultation and coordination with Tribal Governments required?	No- The records covered by this schedule do not implicate Tribal interests

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## Item Count

Total number of disposition items: 3

Number of Temporary disposition items: 3

Number of Permanent disposition items: 0

Number of Items with Disposition Not Approved: 0

Number of Inactive disposition items: 0

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Outline of Records Schedule Items for DAA-0180-2022-0003

<b>Item #</b>	<b>Title</b>	<b>Disposition</b>
0001	Market, Financial, and Other Data Submissions	Temporary
0002	Noteworthy Market Events	Temporary
0003	Summary of Data Submissions	Temporary

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Records Schedule Items

<b>DAA-0180-2022-0003-0001</b>		<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>		
Item Title	Market, Financial, and Other Data Submissions	
Item Description	<p>Records in this series include data submitted to the CFTC by market participants, other acquired data, or value-added data sets. Data may include files from the exchanges, including all bid/ask activity on futures, options on futures and swaps markets; data from derivatives clearing organizations; data from swap data repositories; Bitcoin auction data; other market position or transaction data submitted to the CFTC; and other data hosted in the CFTC's environment. These data collections allow the CFTC to monitor market participant's practices through robust, sophisticated analyses that inform the CFTC's examinations, enforcement, rulemaking, and other market oversight activities. These data sets may be unaggregated, raw data; prepared or augmented data; or aggregated data.</p> <p>Data relevance and retention fluctuates with the ever-changing market. New and burgeoning commodities or assets require technological enhancements for evaluation and may require revision of existing statute and regulation or the need to develop and codify new regulation. As such, the disposition of these data needs to accommodate the ingest of new data and the disposal of outmoded data based on market activity and the current regulatory environment, while still enabling staff to identify and retain select older data in order to maintain a solid reference dataset for ongoing analyses.</p>	
Is this item media neutral?	Yes	
Is this item a Big Bucket?	Yes	
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>		
Does this item supersede existing disposition authorities?	Yes	
<b>Superseded Items</b>		
Superseded Item	Item Superseded in Part?	Explanation
N1-180-00-001 / 519/a	No	
N1-180-00-001 / 519/b	No	
N1-180-00-001 / 519/d	No	

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Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Retention Period	Destroy between 20 year(s) and 40 year(s) after Submission
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

<b>DAA-0180-2022-0003-0002</b>	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Noteworthy Market Events
Item Description	<p>Records in this series include data related to market events whose impact may vary from notable, one-day events to sustained or long-range market upheaval. These records include select data sets from market participants or other submitted data that has defined time ranges, which are specific to the event. This data comprises a snap-shot or time-capsule of the event that is used for tracking, forecasting, and comparing past and future events. Actions that might trigger a notable market event may include:</p> <ul style="list-style-type: none"> <li>•Exaggerated drops in buy-side liquidity</li> <li>•Overinflated sell orders</li> <li>•Overvalued stocks or commodities or economic bubbles</li> <li>•Excessive speculation</li> <li>•Commodity stockpiling</li> <li>•Forced and panicked selling</li> <li>•Halt in trading of a particular commodity</li> <li>•Temporary ban on trading certain asset types</li> <li>•Environmental impacts or natural catastrophes</li> <li>•Political referenda, economic downgrade, civil unrest and demonetization</li> <li>•Critical announcements or changes to rules, laws or technology that govern trading</li> <li>•Unusual activity uncovered by Mission Divisions in the course of research, analysis or investigations</li> </ul>
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	

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Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Retention Period	Destroy 50 year(s) after indentified event
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

<b>DAA-0180-2022-0003-0003</b>	<b>STATUS: Active</b>
<b>ITEM GENERAL INFORMATION</b>	
Item Title	Summary of Data Submissions
Item Description	Records in this series include high-level summaries or a minimal framework of data submissions provided by market participants. Summary data may include open interest on entry or price on entry contract data, volume of trade data, or delivery notices. Staff use the summary data to build histories of market trends and perform longitudinal studies of price and volume changes.
Is this item media neutral?	Yes
Is this item a Big Bucket?	No
<b>SUPERSEDED AGENCY DISPOSITION AUTHORITIES AND GRS DEVIATIONS</b>	
Does this item supersede existing disposition authorities?	No
Is this item a deviation from the GRS?	No
<b>DISPOSITION INSTRUCTION</b>	
Final Disposition	Temporary
Retention Period	Destroy 75 year(s) after Submission
<b>ADDITIONAL INFORMATION</b>	
Are any of the records covered by this item national security classified?	No
GAO Approval Required	No

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Signatory Information

Action	User	Date
Approve	Colleen Shogan	07/17/2023