INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-180-07-002

All items in this schedule are inactive. Items are either obsolete or have been superseded by newer NARA approved records schedules.

Description:

Superseded by DAA-0180-2012-0003-0006

Date Reported: 6/9/2021
REQUEST FOR RECORDS DISPOSITION AUTHORITY

To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION
8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001

1. FROM (Agency or establishment)
Commodity Futures Trading Commission (CFTC)

1. MAJOR SUBDIVISION
Division of Enforcement

1. JOB NUMBER
N1-180-07-2

Date received 8/20/07

In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked “disposition not approved” or “withdrawn” in column 10.

3. NAME OF PERSON WITH WHOM TO CONFER
Hilary Schultz

4. TELEPHONE NUMBER
202-418-5219

5. 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 on the attached page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

☐ is not required  ☐ is attached; or  ☐ has been requested.

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION

(SEE ATTACHED)

Prescribed by NARA 36 CFR 1228

STANDARD FORM 115 (REV. 3-91)
The proposed disposition instructions for the following record series apply to records in all media and formats.

Item 408b Enforcement Case Files
b. In closed enforcement cases, (1) transcripts of testimony taken during the investigation and all exhibits to such transcripts; (2) all “official” documents generated during the course of the investigation such as opening and closing reports, formal orders of investigation, subpoenas, requests for confidential treatment, Wells submissions and FOIA requests; (3) other inter-or-intra agency memos and correspondence, including important notes or documents prepared by staff which staff believes should be retained; (4) documents that have been introduced as evidence in an injunctive or administrative proceeding; (5) other documents identified by staff as important to retain; (6) case material which must be held due to FOIA or Privacy Act concerns.

Disposition: Temporary. Transfer to off-site storage 90 days after close of investigation. Destroy/delete 15 years after close of investigation.