REQUEST FOR RECORDS DISPOSITION AUTHORITY

<table>
<thead>
<tr>
<th>JOB NUMBER</th>
<th>Date received</th>
</tr>
</thead>
<tbody>
<tr>
<td>N1-180-09-4</td>
<td>9/22/09</td>
</tr>
</tbody>
</table>

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

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

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER  
Crystal Zeh

5. TELEPHONE NUMBER  
202-418-5035

6. 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,

<table>
<thead>
<tr>
<th>DATE</th>
<th>SIGNATURE OF AGENCY REPRESENTATIVE</th>
<th>TITLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>September 18, 2009</td>
<td>Crystal Zeh</td>
<td>Records Management Officer</td>
</tr>
</tbody>
</table>

7. ITEM NO.  

8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION  
See attached.

9. GRS OR SUPERSEDED JOB CITATION

10. ACTION TAKEN (NARA USE ONLY)

INACTIVE - ALL ITEMS SUPERSEDED
STRESSING POSITIONS AT RISK (SPARK) SYSTEM AND SUPPORTING ENVIRONMENT

SPARK is used to identify large traders whose positions may pose financial risk to the industry or a clearing firm. SPARK obtains some of its data from the Integrated Surveillance System (ISS) and the Regulatory Statement Review (RSR) Express system.

System Input

Data loaded or keyed into the system: GRS 20, Items 2a(4) and 2b

Description: Electronic data files and other paper and electronic inputs loaded or keyed into the system.

Disposition: TEMPORARY. Delete when data have been entered into database and verified, or when no longer required to support reconstruction of the database, whichever occurs later.

Supersedes: New item.

System Content

1. Superseded by

2.

Contracts data

DATE (MM/DD/YYYY)

12/04/2019

Description: Data may include but is not limited to contract market code, name, exchange, and ISS exchange commodity code. Data is imported from ISS.

Disposition: TEMPORARY. Delete when 10 years old or when no longer needed for business purposes, whichever occurs later.

Supersedes: New item.

3. Superseded by

DAA-0180-2019-0001-0003

DATE (MM/DD/YYYY)

12/04/2019

Margin rate data for flagship contracts

Description: Margin rates are set by the exchanges for each contract trading on the exchange. flagship contracts are those that have been identified by the agency as the largest on an exchange. Data may include but is not limited to margin rates for flagship contracts and beginning and end dates of the rates.

Disposition: TEMPORARY. Delete when 10 years old or when no longer needed for business purposes, whichever occurs later.

Supersedes: New item.

4. Superseded by

DAA-0180-2019-0001-0003

DATE (MM/DD/YYYY)

12/04/2019

Margin rate data for all other contracts

Description: Margin rates are set by the exchanges for each contract trading on the exchange. Data may include but is not limited to margin rates for all non-flagship contracts and beginning and end dates of the rates.

Disposition: TEMPORARY. Delete when 10 years old.

Supersedes: New item.
Superseded by
DAA-0180-2019-0001-0003
DATE (MM/DD/YYYY)
12/04/2019

5. Top traders by Contract data

Description: Data identify the largest net long traders and the largest net short traders on the daily price report. Data may include but is not limited to trader, reporting firm, number of net long and net short contracts, owner ID, trader suffix, reporting firm ID, and account number by contract market. Data is imported from ISS.

Disposition: TEMPORARY Delete when 3 years old

Supersedes: New item

6. Superseded by
DAA-0180-2019-0001-0003
DATE (MM/DD/YYYY)
12/04/2019

Margin by Trader data

Description: Data identify the margin requirements for all large trader positions. Data may include but is not limited to trader, reporting firm, long and short option values, long and short future values, initial total margin, etc.

Disposition: TEMPORARY Delete when 10 years old

Supersedes: New item

7. Superseded by
DAA-0180-2019-0001-0003
DATE (MM/DD/YYYY)
12/04/2019

Hedge fund report and supporting data

Description: Some data originates from ISS.

Disposition: TEMPORARY Delete when data for a trader have not been received in 10 years

Supersedes: New item

8. Superseded by
DAA-0180-2019-0001-0003
DATE (MM/DD/YYYY)
12/04/2019

New York Mercantile Exchange watchlist data

Description: Data includes accounts for which NYMEX is gathering additional information from the clearing firm. [Note: As of September 2000, this data is no longer received]

Disposition: TEMPORARY Delete when 2 years old

Supersedes: New item

9. Superseded by
DAA-0180-2019-0001-0003
DATE (MM/DD/YYYY)
12/04/2019

CTFC watchlist data

Description: Accounts that have been identified as accounts that CFTC staff would like to watch more closely.

Disposition: TEMPORARY Delete 3 years after end date.

Supersedes: New item

INACTIVE - ALL ITEMS SUPERSEDED
40 Firm Financial data. Superseded by

Description—Includes data required by 17 CFR Part 1-10(b) to be submitted to the Commission. Data may include but is not limited to excess net capital for futures commission merchants (FCMs) and FCM broker/dealers. Data is imported from RSR.

Disposition—TEMPORARY. Delete when superseded.

Superseded—New Item

41 Currency conversion rates. Superseded by

Description—Data may include but is not limited to daily currency conversion rates.

Disposition—TEMPORARY. Delete when 10 years old or when no longer needed for business purposes, whichever is longer.

Superseded—New Item

42 Monthly margin report data. Superseded by

Description—Includes reports received on a monthly basis from designated clearing organizations—listing margin requirements and the margin collateral on deposit by clearing member.

Disposition—TEMPORARY. Delete when data from a designated clearing organization has not been received for 10 years or

Superseded—New Item

System Output

43 Outputs that support another programmatic function—Filing instruction

Description—Outputs, such as printouts or copied, extracted or merged data files generated from SPARK that support another programmatic function.

Disposition—TEMPORARY. Dispose of in accordance with disposition authority that applies to records produced from other programmatic function.

Superseded—New Item

44 Ad-hoc outputs—GRS 20, items 5 and 16

Description—All other outputs, such as printouts or copied, extracted or merged data files used for ad hoc or one-time inspection, analysis or review, which do not contain substantive information not already included in SPARK.

Disposition—TEMPORARY. Destroy/Delete when no longer needed to conduct business.

Superseded—New Item

INACTIVE—ALL ITEMS SUPERSEDED
System Documentation

45 Development documentation - GRS 20, Item 11a(1)
Description: Includes test plans, requirements and specifications, quality assurance procedures, quality guidelines, configuration management plans, detailed design documents, use cases, and other related materials.
Disposition: TEMPORARY - Destroy/delete 1 year after system is superseded or obsolete.
Supersedes: New item.

46 System monitoring and maintenance documentation - GRS 20, Items 1a and 1c
Description: Includes logs created to test system performance and monitor system use.
Disposition: TEMPORARY - Destroy/delete earliest log entry when log is full.
Supersedes: New item.

47 User manuals, handbooks, and other related documentation - GRS 20, Item 11a(1)
Disposition: TEMPORARY - Destroy/delete when superseded or obsolete.
Supersedes: New item.