

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-180-87-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 12/27/2021

ACTIVE ITEMS

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

These items remain active:

- 501-13d5
- 501-16a
- 501-18
- 501-19b
- 501-19c

SUPERSEDED AND OBSOLETE ITEMS

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

- Item 501-13a was superseded by N1-180-00-001, item 511a
- Item 501-13b was superseded by N1-180-00-001, item 511b
- Item 501-13d1 was superseded by N1-180-00-001, items 511c1a and 511c1b
- Item 501-13d2 was superseded by N1-180-00-001, item 511c2
- Item 501-13d3 was superseded by N1-180-00-001, item 511c3
- Item 501-13d4 was superseded by N1-180-00-001, item 511c4
- Item 501-13e was superseded by N1-180-00-001, item 511d
- Item 501-14a was not appraised but was later shown as superseded by N1-180-00-001, item 512a
- Item 501-14b was superseded by N1-180-00-001, item 512b
- Item 501-16b was not appraised but was later shown as superseded by N1-180-00-001, item 514
- Item 501-17 was superseded by N1-180-00-001, item 515
- Item 501-19a was superseded by N1-180-00-001, item 516

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK	
TO: GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO. N1-180-87-1	DATE RECEIVED 6-18-87
1. FROM (Agency or establishment) Commodity Futures Trading Commission		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Office of Administrative Services		In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Joseph G. Salazar	5. TELEPHONE EXT. 254-9735		
6. CERTIFICATE OF AGENCY REPRESENTATIVE			

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 5 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A. GAO concurrence: is attached; or is unnecessary.

B. DATE 6/16/87	C. SIGNATURE OF AGENCY REPRESENTATIVE <i>Joseph G. Salazar</i>	D. TITLE Records Officer
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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARS USE ONLY)
1.	<p>Amendment to the CFTC Files and Disposition Schedule, Chapter 7, Section 5, Trading Registration and Surveillance.</p> <p>The Description for Items 501-13, 501-14, 501-16, 501-17, 501-18 and 501-19 are replaced in their entirety.</p> <p>501-13 <u>Large-Trader Report Files</u> - Arranged by name. Required CFTC records of those holding reportable positions. Included is information required under Regulation 16.02, (Option Large Trader Reports), Regulation 17.00 (Series '01 Reports), Regulation 18.00 (103 Reports), Part 19 (Series '04 Reports), Regulation 18.04 (Statement of Reporting Trader), Regulation 17.01 (Identification of Special Accounts) and correspondence, memoranda and related records. Excluded are computer output tabulations, including hard copy reports provided under regulation 16.02 which can be recreated within the time limit for disposition of computer records.</p>	NCI-180-80-1	

copies to agency, NCF, NNF, NNS 11-13-87 15 items

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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN
	<p><u>DISPOSITION:</u></p> <p>a. Reporting forms that are collected under Regulations 17.00 and 18.00 and Part 19. Break files semi-annually. Transfer to FARC every six months. Destroy 5 years after end of fiscal year.</p> <p>b. Reporting forms collected under regulations 17.01 and 18.04 and memoranda, correspondence and other records related to reporting under Regulations 16.02, 17.00 and 18.04 and Part 19. Destroy information on site for all traders of an owner when no information required under these regulations pertaining to such traders has been collected in the last 5 years.</p> <p><i>d. d.</i> Computer files consisting of data base and tape files of option large trader data collected under Rule 16.02, tape files for data collected under Rule 17.00 that has not been key entered from manual reports (CFTCSSS.A60905.01 TRANS.TAPE.AFTER), data base files in system SAU relating to information collected under Rules 17.01 and 18.04, and tape files consisting of a merge of information collected under Rules 17.00, 17.01 and 18.04 (ARCHMAS and QUARTERMAS files). Reports from these files are available on request.</p> <p>(1) Purge CFTCSSS.A60905.01 TRANS.TAPE.AFTER files after 5 years.</p> <p>(2) Purge all records relating to traders of an owner in system SAU when, for all such traders, information</p>		

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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p>has not been collected under Regulation 16.02, 17.00, 17.01, 18.00 and 18.04 or Part 19 for the last five years.</p> <p>(3) Purge ARCHMAS files after one year.</p> <p>(4) Purge QUARTERMAS files after 10 years.</p> <p>(5) Purge option large trader data after it is 10 years old.</p> <p>e. 1. Weekly Surveillance Reports and Special Surveillance Projects including information collected under Regulation 18.05 and limited calls under Part 21.</p> <p><u>DISPOSITION:</u></p> <p>Break by fiscal year. Retain on site for 5 years then transfer to FARC at end of fiscal year. Destroy after 10 years.</p> <p>501-14 <u>Records Relating to Deliveries - Arranged by delivery points.</u></p> <p>a. Consists of official correspondence; reports and related material pertaining to default cases.</p> <p><u>DISPOSITION:</u></p> <p>PERMANENT. Break file by fiscal year. Transfer to FARC 1 year after end of fiscal year. Offer to NARS in 10 year blocks when 20 years old.</p> <p>b. Consists of correspondence relating to deliveries, delivery</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
3.	<p>notices and related work papers, including appropriate form worksheets.</p> <p><u>DISPOSITION:</u></p> <p>Destroy when 5 years old.</p> <p>501-16 <u>Options & Futures Prices, Volume and Open Interest Files</u> - Arranged by commodity and year.</p> <p>Consists of correspondence, reports, related material and computer files pertaining to futures and options prices, open interest and volume of trading.</p> <p><u>DISPOSITION:</u></p> <p>a. Correspondence and related material: break files by fiscal year. Retain on site. Destroy 5 years after end of fiscal year.</p> <p>b. Computer files: Destroy when 10 years old.</p>		
4.	<p>501-17 <u>Options and Futures Market-Wide Surveys or Calls</u> - Consists of original reports from traders, brokers and members of contract markets required upon special call by the Commission under Part 21.</p> <p><u>DISPOSITION:</u></p> <p>Break files by fiscal year. Retain on site. Destroy 5 years after end of fiscal year.</p>		
5.	<p>501-18 <u>Weekly Reports of Warehousemen</u> - Consists of weekly reports from warehousemen covering stocks in federally licensed warehouses (CFTC-38) and related documents.</p>		

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7. ITEM NO	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p><u>DISPOSITION:</u></p> <p>Break file by fiscal year. Retain on site. Destroy 5 years after end of fiscal year.</p>		
6.	<p>501-19 Chicago ADP Operations - The retention period for option large trader data tape files is now included in item 501-13c.</p>		
7.	<p>This is a new item established for Exchange data computer files.</p>		
	<p>501-19 <u>Clearing Member Futures and Option Positions and Transactions, Option Month End Reports</u> - Machine readable and hard copy reports of positions and transactions of clearing members required under Regulations 16.00 and 16.04 and related memoranda and correspondence. No specific retention period is specified for hard copy reports and related computer outputs since reports may be regenerated from computer files.</p> <p><u>DISPOSITION:</u></p> <ol style="list-style-type: none"> a. Archive computer files. Purge records when 3 years old. b. Memoranda and related correspondence. Destroy after 3 years. c. Hard copy clearing member reports. Destroy when no longer needed for current use. 		