Schedule Number: N1-180-88-003

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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.

Items 501-08a2 and 501-08b remain active.

**SUPERSEDED AND OBSOLETE ITEMS**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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Item 501-08a was superseded by N1-180-00-001, item 506
REQUEST FOR RECORDS DISPOSITION AUTHORITY

TO: GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1. FROM (Agency or establishment)
COMMODITY FUTURES TRADING COMMISSION
DIVISION OF TRADING AND MARKETS
OFFICE OF ADMINISTRATIVE SERVICES

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER
JOSEPH G. SALAZAR

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 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 06/27/88

C. SIGNATURE OF AGENCY REPRESENTATIVE
JOSEPH G. SALAZAR

D. TITLE Records Officer

7. ITEM NO.

8. DESCRIPTION OF ITEM

Amendment to the CFTC Files and Disposition Schedule. To add Item 501-08 as a series of records not previously scheduled. (501-08 is an unassigned number).


Consists of financial reports filed by FCMs, IBs, LIMs, Commodity Pools; subordination agreements filed by FCMs and IBs; and disclosure documents filed by CPOs and CTAs.

DISPOSITION:

a. Financial reports and disclosure documents.

1. Files not subject of formal investigation or litigation: Destroy when 3 years old.

2. Files subject of formal investigation or litigation: Destroy when no longer needed.

b. Subordinate agreements: Destroy 2 years after termination of agreement.