

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: NC1-180-80-01

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules.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These items, unless subsequently superseded, may be used by the agency to disposition records.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

All items not listed below 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## **SUPERSEDED AND OBSOLETE ITEMS**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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Item 101-04 was superseded by N1-180-00-001, item 100  
Item 101-11 was superseded by N1-180-00-001, item 101  
Item 101-14 was superseded by N1-180-00-001, item 102a  
Item 102-01a was superseded by N1-180-00-001, item 103a  
Item 201-03a was superseded by N1-180-00-001, item 105  
Item 201-06a was superseded by N1-180-00-001, item 106  
Item 201-09b was superseded by N1-180-00-001, item 107  
Item 202-09a was superseded by N1-180-00-001, item 302  
Item 203-01 was superseded by N1-180-00-001, item 303  
Item 203-02 was superseded by N1-180-00-001, item 307  
Item 203-03b was superseded by N1-180-00-001, item 400  
Items 203-04 and 203-05 were superseded by N1-180-88-001, items 203-04a1, a2, and b  
Item 203-06 was superseded by N1-180-91-002, item 203-06  
Item 203-07 was superseded by N1-180-89-001, item 203-07  
Item 301-01a was superseded by N1-180-00-001, item 501a  
Item 301-01b was superseded by N1-180-00-001, item 501b  
Item 301-02 was superseded by N1-180-00-001, item 500  
Item 302-02b was superseded by N1-180-00-001, item 412  
Item 303-02a was superseded by N1-180-00-001, item 406a  
Item 303-02b was superseded by N1-180-00-001, item 406b  
Item 303-06a was superseded by N1-180-00-001, item 408a  
Item 303-06b was superseded by N1-180-00-001, item 408b  
Item 303-07 was superseded by N1-180-00-001, item 409  
Item 304-01a was superseded by N1-180-00-001, item 410a  
Item 304-01b was superseded by N1-180-00-001, item 410b

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

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Item 304-02a was superseded by N1-180-00-001, item 411a  
Item 304-02b was superseded by N1-180-00-001, item 411b  
Item 304-02c was superseded by N1-180-00-001, item 411c  
Item 401-01a was superseded by N1-180-00-001, item 401  
Item 401-02 was superseded by N1-180-00-001, item 402  
Item 401-05a was superseded by N1-180-00-001, item 404  
Item 401-06a was superseded by N1-180-00-001, item 310  
Item 401-07a was superseded by N1-180-00-001, item 311  
Item 401-08a was superseded by N1-180-00-001, item 312  
Item 501-01 was superseded by N1-180-00-001, item 502  
Item 501-03 was superseded by N1-180-00-001, item 503  
Item 501-04 was superseded by NC1-180-85-01, item 501-04  
Item 501-06 was superseded by NC1-180-85-01, item 501-06  
Item 501-08 was incorporated into item 501-06 by NC1-180-85-01. Item 501-08 was removed.  
Item 501-09 was superseded by N1-180-00-001, item 507  
Item 501-10 was superseded by N1-180-00-001, item 508  
Item 501-11 was superseded by N1-180-00-001, item 509  
Item 501-12 was superseded by N1-180-00-001, item 510  
Item 501-13 was superseded by N1-180-87-001, item 501-13  
Item 501-14 was superseded by N1-180-87-001, item 501-14  
Item 501-16 was superseded by N1-180-87-001, item 501-16  
Item 501-17 was superseded by N1-180-87-001, item 501-17  
Item 501-18 was superseded by N1-180-87-001, item 501-18  
Item 501-19 was superseded by N1-180-87-001, item 501-19

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

**REQUEST FOR RECORDS DISPOSITION AUTHORITY**  
(See Instructions on reverse)

*Rec'd  
26 Feb 2004*

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

1 FROM (AGENCY OR ESTABLISHMENT)

Commodity Futures Trading Commission

2 MAJOR SUBDIVISION

Management, Program Planning and Evaluation

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER

Ralph A. Marceron

5 TEL EXT

254-6599

LEAVE BLANK

JOB NO

NC1-180-80-1

DATE RECEIVED

2-26-80

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request including amendments is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

Nov 16/81 *[Signature]*  
Date / Archivist of the United States

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.

☐ A Request for immediate disposal

☒ B Request for disposal after a specified period of time or request for permanent retention

C DATE

D SIGNATURE OF AGENCY REPRESENTATIVE

E TITLE

Joe Mink

*[Signature: Joe F. Mink]*

Records Management Officer

7  
ITEM NO

8 DESCRIPTION OF ITEM  
(With Inclusive Dates or Retention Periods)

9  
SAMPLE OR  
JOB NO

10  
ACTION TAKEN

1

Administrative and Program Records as described in Part III, Chapter 7, Sections 1 thru 5 of the CFTC Files and Disposition Handbook

Attachment

NOTE: The proposed schedule will replace, in entirety, schedule NN-173-2

*Mass data change attached*

*167 items*

*Closed Out: 2-22-82: R.T.D.  
Copy to NNR, NNF, NNB & AII  
FRC &*

## SECTION 1

### Office General Administrative and Program Files

#### GROUP 1

##### OFFICE ADMINISTRATIVE FILES

#### 101-01 Office Files Maintenance and Disposition Plans

Documents which reflect file categories, disposal instructions, and other information about the files accumulated in the individual office file stations, (including SF-115's, SF-135's).

DISPOSITION: (GRS-16-3)

DESTROY upon receipt of a revised plan or discontinuance of the plan; when related records are destroyed, or when no longer needed for reference.

#### 101-02 Suspense Files

Papers arranged in chronological order as a reminder that an action is required on a given date; a reply to action is expected and if not received should be traced on a given date, or a transitory paper being held for reference which may be destroyed on a given date. Examples of papers in suspense files are:

- a. A note or other reminder to submit a report or to take some other action.

DISPOSITION:

DESTROY after action is taken.

- b. The file copy, or an extra copy of an outgoing communication, filed by the date on which a reply is expected.

DISPOSITION:

Withdraw papers when reply is received. If suspense copy is an extra copy, destroy it; if it is the file copy, incorporate it with other papers for file.

- c. Papers which may be destroyed in 30 days or less as being without further value.

DISPOSITION:

DESTROY on date under which suspended.

#### 101-03 Transitory Files

Papers of short term interest which have no documentary or

evidential value and normally need not be kept more than 90 days. Examples of transitory correspondence are shown below:

a. Requests for Information or Publications

Routine requests for information or publications which require no administrative action, no policy decisions, and no special compilations or research for reply, such as requests for publications or other printed material.

b. Letters of Transmittal

Letters of transmittal that do not add any information to that contained in the transmittal material.

c. Quasi-Official Notices

Memoranda and other papers that do not serve as the basis of official actions, such as notices of holidays, charity, and welfare fund appeals, bond campaigns, and similar papers.

DISPOSITION:

Recordkeepers shall combine the types of temporary material shown above into one transitory file arranged chronologically. If the volume warrants using more than one folder, four folders labeled as follows may be used:

Transitory (JAN-MAY-SEP)  
Transitory (FEB-JUN-OCT)  
Transitory (MAR-JUL-NOV)  
Transitory (APR-AUG-DEC)

A folder is used for each month. At the beginning of each month, the folder used the previous month is placed behind the other three, until all four folders have been used. At the beginning of the fifth month, the contents of the folder containing the oldest material are destroyed and the folder reused for the current month.

101-04 Office Organization Reference Files - Arranged by subject.

Documents relating to the organization and function of an office. Included are copies of organization and functional charts and functional statements, documents relating to office staffing, documents concerning functional assignments and/or changes. Also included are documents reflecting minor changes in the office organization or functional assignments which are made by the office chief.

DISPOSITION:

DESTROY when superseded, obsolete, or no longer needed for reference.

Office Administrative Files - Arranged by subject.

Documents accumulated by the individual offices that relate to the routine internal management or general administration rather than the function for which the office exists. These records may include copies of correspondence and reports which are prepared in the office and forwarded to higher levels and other materials that do not serve as official documentation. Also, includes papers relating to obtaining housekeeping-type services from the offices responsible for providing them. If volume warrants, these files may be arranged by the subject-numeric classification system or the files may be arranged according to the type of material as shown below:

a. Office General Management Files

Includes documents concerning internal office procedures, hours of duty, participation on charitable affairs, security and protective services, safety, involvement in similar matters not pertaining to the mission or function of the office.

b. Office Facilities Files

Includes documents relating to custodian service, temperature controls such as heating and air conditioning, telephone installation or change, requests for office space, office layouts, painting and renovation, and similar matters.

c. Office Supply Files

Includes papers that relate to the ordinary supplies and equipment required by an office to carry out its functions. Includes documents such as requests for office supplies and receipts; requests for blank forms and directives or other papers relating to supply and distribution of these items; repair of office machines; and similar papers.

d. Office Financial Files

Includes papers that relate to the expenditure of funds incidental to the performance of the mission of the office, such as cost estimates for travel and other papers concerning travel funds; documents concerning long-distance telephone call funds; printing expenses, and similar expenses; receipts and other papers concerning paychecks and savings bonds.

DISPOSITION:

Break files at end of fiscal year. DESTROY 2 years after end of fiscal year.

- 101-06 Office Employee Travel Files - Arranged alphabetically by name of traveler.

Correspondence, requests, travel authorizations and orders, itineraries, and similar papers pertaining to employee travel exclusive of records maintained for accounting purposes.

DISPOSITION:

Break files at end of fiscal year. DESTROY 2 years after end of fiscal year.

- 101-07 Office General Personnel Files - Arranged as appropriate to the office.

Documents that relate to the day-to-day administration of personnel in individual offices. Included are papers that relate to attendance and over-time, notices of holidays and hours worked, notices and lists of persons to attend training sessions, papers concerning participation in employee and community affairs, campaigns, drives, and comparable or related papers. If volume warrants, papers can be arranged by subject-numeric classification system.

DISPOSITION:

Break files at end of fiscal year. DESTROY 2 years after end of fiscal year.

- 101-08 Office Individual Personnel Files - Arranged alphabetically by employee.

Unofficial personnel folders maintained in the office which consist of documents which are duplicates of papers placed in official personnel folders maintained in the Personnel Office or which are not appropriate for inclusion in the official personnel folders. Includes such papers as records reflecting training received by individuals, copies of letters of appreciation and commendation, off-duty employment information and comparable papers.

DISPOSITION:

Review file periodically to destroy documents which have been superseded or are no longer applicable. DESTROY entire file 1 year after transfer or separation of employee.

- 101-09 Office Personnel Locator Files

Documents reflecting the name, address, telephone number, and similar data for each office employee. Included are cards or sheets containing such information.

DISPOSITION:

DESTROY on separation or transfer of the individual.

101-14 Individual or Staff Working Papers - Arranged as appropriate.

Project background records such as studies, analyses, notes, drafts, and interim reports.

DISPOSITION:

DESTROY 6 months after final action on project report or 3 years after completion of report if no final action is taken.

101-15 Indexes, Logs, Journals, and Registers

Unless specified, these are for reference and convenience only.

DISPOSITION:

DESTROY when superseded, obsolete, or when no longer needed.



SECTION 1

GROUP 2

Office Program Files

102-01 Program Correspondence Files - Arranged by subject.

Program correspondence, interoffice and interagency memoranda, reports studies, proposals, publications, and related materials dealing with commodities, the exchanges, CFTC rules and regulations, general legislative concerns, recommendations, and related topics.

DISPOSITION:

- a. Records documenting the programs, policies, and procedures of CFTC which are not sent to the central files of the Chairman and Commissioners. PERMANENT. Transfer to FARC when 5 years old. Offer to NARS ~~when 20 years old~~ *in 10 year*  
*also when 20 years old.*
- b. Other records: Break files annually. Transfer to FARC when 3 years old. DESTROY 10 years after end of fiscal year.

102-02 Project Files - Arranged by project number or title. Consists of copies of feasibility studies; cost effectiveness and management improvement studies and reports; project outlines; contracts; preliminary, progress, and final reports.

DISPOSITION:

Transfer to FARC 3 years after completion, termination or cancellation of project. DESTROY 15 years after completion, termination, or cancellation of project.

SECTION 2

Organization, Administrative and Executive Support Files

GROUP 1

Organization and Administrative Files

201-01 Directives Files - Arranged Numerically.

Consists of copies of CFTC Directives (Instructions and Notices).  
Outlines agency policy, procedures, authorizations, and delegations  
of authority. ~~Includes supporting case file, if any.~~

DISPOSITION: (GRS-16-1)

- a. Record copies: PERMANENT. Break files periodically.  
Offer to NARS ~~when 20 years old~~ in 10 year ~~blocks~~ when 20 years old.
- b. Other copies ~~and supporting case file.~~ DESTROY when superseded or obsolete.

201-02 Forms Files - Arranged chronologically.

Consists of copy of each form developed by the CFTC ~~with related instructions and documentation showing inception, scope, and purpose of the form.~~

DISPOSITION: (GRS-16-4)

- a. Record copies: Transfer to inactive file when superseded or obsolete. ~~Start a new file every 5 years. Transfer to FARC 5 years after file becomes inactive. Destroy 20 years after file becomes inactive.~~ DESTROY 5 years after related form is discontinued, superseded or cancelled.
- b. Other copies and working papers; DESTROY when related forms are discontinued, superseded, or cancelled.

201-03 Publications Files - Arranged by subject.

Consists of a copy of each pamphlet, report, leaflet, manual, or other published or processed document, or the last manuscript report if unpublished, relating to management projects. ~~Includes support papers documenting the inception, scope, and purposes of the project.~~

DISPOSITION: (GRS-16-2)

- a. Record copy. ~~and supporting papers:~~ PERMANENT. Break files annually. Transfer to FARC when 5 years old. Offer to NARS ~~when 20 years old~~ in 10 year ~~blocks~~ when 20 years old.
- b. Other copies ~~and supporting papers.~~ DESTROY when superseded or obsolete.
- c. Working papers: DESTROY 6 months after final action or 3 years after completion if no final action.

201-04 Records of Advisory Committees of the Commission - Arranged by Committee.

NN 173-2  
item 3 b

Consists of transcripts of proceedings of public meetings, public hearings transcripts, proceedings of subcommittee hearings, meeting agendas, minutes of meetings, meeting synopses, reports, general commentary and related records.

DISPOSITION:

- a. Record copy: PERMANENT. Break files when recommendations have been submitted. Transfer to FARC 5 years after break. Offer to NARS ~~when 20 years old~~ in 10 year ~~below~~ when 20 years old.
- b. Other copies: DESTROY when 3 years old or when no longer needed, whichever is sooner.

201-05 Records of Public Hearings of the Commission - Arranged by subject of hearing and thereunder chronologically.

Transcripts of proceedings, reports to Congress submitted by the CFTC, public letters, supplementary statements and related information. Some topics discussed at the hearings include insurance, arbitration, options, applications for designation as a contract market and similar topics.

DISPOSITION:

PERMANENT. Break file at close of hearings. Transfer to the FARC when 5 years old. Offer to NARS ~~when 20 years old~~ in 10 year ~~below~~ when 20 years old.

201-06 Organizational Records - Arranged by subject. Consists of official organization charts, narrative histories, functional charts and related records which document the organization and functions of the agency.

DISPOSITION: (GRS-16-13)

- a. Record copy: PERMANENT. Break files by fiscal year. Transfer to FARC when revised or 5 years old (whichever comes first). Offer to NARS ~~when 20 years old~~ in 10 year ~~below~~ when 20 years old.
- b. Other copies: DESTROY when superseded or obsolete.

201-07 Budget Policy Files - Consists of records in ~~formally organized~~ <sup>CFTC</sup> budget offices documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs.

DISPOSITION: (GRS-5-1)

- a. Record copy: PERMANENT. Break files by fiscal year. Transfer to FARC when 5 years old. Offer to NARS ~~when 20 years old~~ in 10 year ~~below~~ when 20 years old.

b. Other copies: DESTROY when 5 years old.

201-08 Budget Estimate and Justifications - Consists of copies of budget statements (estimates and justifications) prepared or consolidated in the Office of Management Programs and Budget. Includes narrative statements, digests, briefing books and related data.

DISPOSITION: (GRS-5-2) *10 years.*

*change  
made by  
CFTC  
3/5/81  
jcw*

a. Record Copy: ~~PERMANENT~~ Break files by fiscal year. Transfer to FARC 5 years after end of fiscal year. ~~offer~~

~~DESTROY when 10 years old.~~ *DESTROY when 10 year*

b. Working Papers: DESTROY one year after the close of the fiscal year covered by the budget.

201-09 Budget Report Files - Consists of periodic reports on the status of appropriations, funds and apportionments.

DISPOSITION: (GRS-5-5)

a. Annual reports: DESTROY when 5 years old.

b. All other reports: DESTROY 3 years after end of fiscal year.

201-10 Certificate of Settlement Files - Consists of copies of certificates of settlement of accounts of accountable officers, statement of differences, and related records.

DISPOSITION: (GRS-6-3)

DESTROY 2 years after settlement.

201-11 General Accounting Ledgers and Allotment Files - Consists of general accounts ledgers showing debit and credit entries and reflecting expenditures in summary; status of obligations and allotments.

DISPOSITION: (GRS-7-2) (GRS-7-3)

DESTROY 10 years after the end of fiscal year.

201-12 Time and Attendance Reports

DISPOSITION: (GRS-2-3)

a. Payroll preparation and processing copies: DESTROY after GAO audit or when 3 years old, whichever comes first.

b. All other Copies: DESTROY 6 months after end of pay period.

201-13 Payroll and Pay Administration Files - Consists of records such as individual allotment files, bond receipts leave records, retirement and tax files, insurance deduction, levy and garnishment files.

DISPOSITION: (GRS-2)

DESTROY in accordance with General Records Schedule 2.

201-14 Travel and Transportation Records - Consists of freight records, passenger transportation files, travel authorizations, travel orders, per diem vouchers, hotel reservations and supporting documents.

A. Freight Records - include bills of loading, shipment of household good records and other supporting records.

DISPOSITION: (GRS-9-1)

1. Issuing officer copies: DESTROY when 3 years old.

2. All other copies: DESTROY when 1 year old.

B. Passenger Reimbursement Files - includes travel orders, per diem vouchers, transportation requests, and supporting papers documenting official travel by officers, employees, and dependents authorized to travel.

DISPOSITION: (GRS-9-4)

1. Travel office files: Break files at end of fiscal year: DESTROY 3 years after end of fiscal year.

2. Obligation copies: DESTROY when funds are obligated.

201-15 Budget Apportionment Files - Consists of apportionment and reapportionment schedules proposing quarterly obligations.

DISPOSITION: (GRS-5-6)

DESTROY 2 years after end of fiscal year.

201-16 Accountable Officer's Files - Consists of records relating to availability, collection, and custody of funds, including certifying officers records, held for on-site audit by the General Accounting Office.

DISPOSITION: (GRS-6-1)

Change per  
FPMR 8-111  
July 7, 1981  
JRW

~~Records shall be destroyed 6 years after the end of the fiscal year covered by the account.~~  
~~Records shall be destroyed 6 years after the end of the fiscal year covered by the account.~~  
~~Records shall be destroyed 6 years after the end of the fiscal year covered by the account.~~  
DESTROY  
6 years, 3 months after period covered by account.

- c. Extra copies (excluding freight and payroll records):  
DESTROY 3 years after period covered by account.

201-17 GAO Exception Files - Consists of GAO Notices of Exceptions (SF-1100).

DISPOSITION: (GRS-6-2)

DESTROY 1 year after exception has been reported as cleared by GAO.

201-18 Procurement and Supply Files: - Consists of procurement and supply records documenting the acquisition of goods and non-personal services which are part of daily procurement operations such as: requisitions, purchase orders, bid files, public printer files, inventory requisitions, telephone records and inventory listings.

DISPOSITION: (GRS-3)

DESTROY in accordance with applicable item of General Records Schedule 3.

201-19 Other Common Administrative Records: - Consists of other administrative personnel, accounting, procurement, and housekeeping functions not specifically mentioned.

DISPOSITON:

DESTROY in accordance with applicable General Records Schedule after concurrence by the Records Management Officer.

(201-20) Central Office ADP Operations: - Master file consists of machine-readable records containing information for conducting routine administrative housekeeping functions such as; civilian personnel data; financial administration; and, payroll administration. Only current data is maintained in machine-readable form.

Disposition: (GRS-20-29)

Dispose of when related records are destroyed or when no longer needed for administrative or reference purposes.

*change  
made  
by  
CFTC  
5/11/81*

SECTION 2

GROUP 2

OFFICIAL PERSONNEL RECORDS

202-01 Official Personnel Folders - Consists of records filed on the right side of the Official Personnel Folder.

DISPOSITION: (GRS-1-1)

- a. Transferred employees: Follow instructions outlined in the Federal Personnel Manual.
- b. Separated employees: Transfer folder to National Personnel Records Center, St. Louis, Missouri, 30 days after separation.

202-02 Personnel Correspondence Files - Consists of records relating to the general administration and operation of personnel functions.

DISPOSITION: (GRS-1-3)

- a. General administration files: Break file by fiscal year.  
DESTROY 3 years after end of fiscal year.
- b. Employment program files: Break files by fiscal year.  
DESTROY 5 years after end of fiscal year.

202-03 Position Classification Files - Consists of records relating to position classification standards, position description, surveys and appeals files.

DISPOSITION:

- a. Position Standards: DESTROY 5 years after position is abolished or description is superseded.
- b. Position Description:
  1. Record copy: DESTROY 5 years after position is abolished or description is superseded.
  2. Other copies: DESTROY when position is abolished or description is superseded.
- c. Survey files: DESTROY when 3 years old or 2 years after regular inspection.
- d. Appeals files: DESTROY 3 years after case is closed.

202-04 Employee Award Files - Consists of case files including recommendations, approved nominations, and other correspondence.

DISPOSITION: (GRS-1-12)

Dispose in accordance with General Records Schedules 1.

- 202-05 Notification of Personnel Action Files - Arranged alphabetically. Consists of SF-50 or equivalent not filed in Official Personnel Folder.

DISPOSITION: (GRS-1-14) (GRS-2-1)

- a. Chronological files in personnel offices: DESTROY when 2 years old.
- b. Other copies maintained in personnel offices: DESTROY when 1 year old.
- c. Pay or fiscal copy: DESTROY when related pay records are audited by GAO or when 3 years old.
- d. Other copies: DESTROY when action has been completed.

- 202-06 Duplicate Personnel Files - Consists of documents maintained outside of the personnel office, including correspondence and forms relating to position descriptions, pending actions and records on individual employees duplicated in the Official Personnel Folder.

Note: Individual office personnel files are scheduled under 101-07.

DISPOSITION: (GRS-1-18)

Review annually and destroy superseded or obsolete documents or destroy one year after separation or transfer of employee.

- 202-07 Performance Rating Records - Consists of certificates of performance ratings.

DISPOSITION: (GRS-1-23)

- a. Certificates: DESTROY when 2 years old.
- b. Case files: DESTROY when 3 years old.
- c. Appeals files: DESTROY 3 years after close.

- 202-08 Equal Employment Opportunity Records - Consists of complaint case files, background files, compliance records, employment statistics reports, and affirmative action plans.

DISPOSITION: (GRS-1-26)

DESTROY in accordance with applicable authority as listed in General Records Schedule 1, Item 26.



202-09 Training Records - Consists of manuals, textbooks, training aids, agreements, reports, plans, courses, etc. dealing with Commission training programs *that specifically relate to CFTC's mission.*

DISPOSITION: (GRS-1-30)

- changed with CFTC concurrence 2/4/81 JBR*
- a. One copy of each manual, textbook, and other training aid developed by the Commission - PERMANENT. Transfer to FARC when 5 years old. Offer to NARS when 20 years old.
  - b. Other training records: DESTROY in accordance with applicable authority in General Records Schedule 1, Item 30.

202-10 Grievance, Disciplinary and Adverse Action Files - Consists of grievances, appeals files, adverse action files and related documents and case files.

DISPOSITION: (GRS-1-31)

- a. Grievance, Appeal files: DESTROY 3 years after close of case.
- b. Adverse Action files: DESTROY 4 years after close of case.

SECTION 2

GROUP 3

EXECUTIVE RECORDS

203-01 Index to Central Correspondence Files of the Chairman and Commissioners - Arranged by subject.

Consists of an alphabetical index by subject.

DISPOSITION:

PERMANENT. Maintain as a finding aid to the correspondence files.

203-02 Central Correspondence Files of the Chairman and the Commissioners - Arranged by subject.

Consists of correspondence submitted to the Commissioner from the public, the CFTC staff, the Congress, other government agencies; include original contract market designations, organizational and administrative management materials concerning the Commission, comments on pending legislation, proposals, reports and similar materials.

DISPOSITION:

PERMANENT. Transfer to FARC when 5 years old. Offer to NARS ~~when 20 years old~~ in 10 year ~~elapse~~ when 20 years old.

203-03 Congressional Correspondence - Arranged by House of Congress or Committee and thereunder alphabetically and by subject.

Consists of letters sent out under the Chairman's signature or the Director of Congressional Relations signature dealing with constituent requests and transmittal of information to Congress.

DISPOSITION:

- a. Records documenting programs, policies, and procedures of CFTC. PERMANENT. Transfer to FARC when 5 years old. Offer to NARS ~~when 20 years old~~ in 10 year ~~elapse~~ when 20 years old.
- b. Routine correspondence: DESTROY when 5 years old.

203-04 Records Relating to Commission Meetings - Arranged chronologically.

NN 173-2  
item 16 <sup>\*</sup>  
Consists of folders containing ~~draft copies of minutes~~, exhibits discussed at meetings, supporting documentation presented to the Commissioners, meeting transcripts, and similar materials.

\* DESTROY upon production of official copy of minutes.

DISPOSITION:

PERMANENT. Break file annually. Transfer to FARC when 5 years old. Offer to NARS ~~when 20 years old~~ in 10 year blocks ~~when 20 years old.~~

203-05 Official Minutes of Commissioners' Meetings - Arranged chronologically.

Consists of date and time of meetings, attendance lists of Commissioners and staff present, subjects discussed at meetings, and the type of meeting being conducted. Indexed in back of the volume by meeting topic.

DISPOSITION:

PERMANENT. Break files annually. Transfer to FARC when 5 years old. Offer to NARS ~~when 20 years old~~ in 10 year blocks ~~when 20 years old.~~

203-06 Index to Tapes of Commission Meetings - Arranged chronologically.

Consists of volume indicating meeting dates, type of meeting, whether open or closed, and the number of tapes used for each meeting.

DISPOSITION:

DESTROY with related tapes.

203-07 Tapes of Commission Meetings - Arranged chronologically.

Consists of recording of CFTC meetings. Written transcripts are maintained as required under 201-04.

DISPOSITION:

DESTROY 6 months after transcripts have been verified as complete.

203-08 CFTC Implementation Project Plans - Arranged by project number.

Consists of reports and option papers prepared during the organizational phases of the agency and deals with discussions of speculative limits, registration, leverage trading in precious metals, and related topics.

DISPOSITION:

- a. Record copy: PERMANENT. Transfer to FARC when 5 years old. Offer to NARS ~~when 20 years old~~ in 10 year blocks ~~when 20 years old.~~
- b. Other copies: DESTROY when no longer needed for reference.

203-09

Recurring Reports - Arranged by type of report and thereunder chronologically.

~~CONFIDENTIAL~~  
Consists of management reports submitted on a monthly, bimonthly, or annual basis from various divisions giving general information about the office or division, significant events, special problems, work progress.

DISPOSITON:

- a. Annual reports: PERMANENT. Transfer to FARC when 5 years old. Offer to NARS ~~when 20 years old~~ in 10 year ~~elases~~ when 20 years old.
- b. Others: DESTROY in office when 3 years old, or no longer needed.

SECTION 3

LEGISLATIVE, LEGAL AND INVESTIGATION

GROUP 1

Rules and Regulations Files

301-01 Rules and Regulations Files - Arranged chronologically and by amendment to the CFTC Act.

Consists of proposed briefs, drafts, comments, analyses, summaries of responses, copies of published rules and regulations and other files which document the preparation, review, and clearance of CFTC standards and guidelines.

DISPOSITION:

- a. Commission Record Copy: Transfer to FARC 5 years after publication. Destroy 10 years after publication. 1/
- b. Other copies: DESTROY when 5 years old.

301-02 Records Relating to Rule Reviews - Arranged by section of the CFTC Act and thereunder by subject.

Consists of correspondence, copies of proposed rule changes, indications of trading practices, copies of contracts, memoranda, and related records.

DISPOSITION:

Break file on completion of review. Transfer to FARC when 5 years old. DESTROY when 10 years old.

1/ The Government-wide record copy is maintained permanently by the Office of Federal Register, National Archives and Records Service (NARS).

SECTION 3

LEGISLATIVE, LEGAL AND INVESTIGATION

GROUP 1

Rules and Regulations Files

301-01 Rules and Regulations Files - Arranged chronologically and by amendment to the CFTC Act.

Consists of proposed briefs, drafts, comments, analyses, summaries of responses, copies of published rules and regulations and other files which document the preparation, review, and clearance of CFTC standards and guidelines.

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301-02 Records Relating to Rule Reviews - Arranged by section of the CFTC Act and thereunder by subject.

Consists of correspondence, copies of proposed rule changes, indications of trading practices, copies of contracts, memoranda, and related records.

DISPOSITION:

Break file on completion of review. Transfer to FARC when 5 years old. DESTROY when 10 years old.

1/ The Government-wide record copy is maintained permanently by the Office of Federal Register, National Archives and Records Service (NARS).

SECTION 3

GROUP 2

302-01 Staff Interpretative Letter - Arranged chronologically and there-  
under by number.

Consists of letters prepared in response to inquiries from the public regarding the legal implications of revelant portions of the CFTC Act, requests for intpretation, and supporting documentation..

DISPOSITION:

- a. Record Copy; Break file annually. Transfer to FARC when 5 years old. Destroy when 20 years old.
- b. Other Copies: Destroy when no longer needed.

302-02 Opinion Case Files - Arranged Alphabetically.

Consists of the initial decision of the Administrative Law Judge, requests to stay decision, orders granting motion for review, application for review, responses to review, replies, Commission Order (denial or award), and related correspondence.

DISPOSITION:

- a. Unique opinion case files selected by CFTC officials because the case established a precedent for changing CFTC procedures and ~~they~~ met one or more of the following criteria:
  - (1) The case was the subject of extensive litigation.
  - (2) The case received widespread attention from the news media or,
  - (3) The case was reviewed at length in the narrative portions of the CFTC Annual Report.

PERMANENT: Break files on completion of the case. Destroy duplicate material. Offer to NARS when 20 years old.

- b. All other opinion case files -  
Break files on completion of the case. Destroy duplicate materials. Transfer to FARC when 5 years old. Destroy when 15 years old.

SECTION 3  
GROUP 2

Opinions

302-02 Opinion Case Files - Arranged alphabetically.

Consists of the Initial Decisions of the Administrative Law Judges, requests to stay decisions, orders granting motions for review, applications for review, responses to review, replies, Commission Orders (denial or award) and related records and correspondence concerning opinion cases before the Commission.

DISPOSITION:

- a. Unique opinion case files selected by CFIC officials because they established precedent for interpretation of the Commodity Exchange Act or for changing CFIC procedures and they meet one or more of the following criteria:

- (1) The case was the subject of extensive litigation;
- (2) The case received widespread attention from the news media; or
- (3) The case was reviewed at length in the narrative portion of the CFIC annual report.

PERMANENT: Break files upon completion of the case. Destroy duplicate materials. Offer to NARS when ~~20 years old~~ *in 10 years unless when 20 years old.*

- b. All other opinion case files.

Break files upon completion of the case. Destroy duplicate materials. Transfer to FARC when 5 years old. DESTROY WHEN 15 years old.

SECTION 3  
GROUP 4

Litigation and Appeals

304-01 Litigation Files of the Office of General Counsel - Arranged alphabetically.

Consists of pleadings, briefs, hearing transcripts, opinions, memoranda and related records and correspondence concerning cases where CFIC is in litigation or has an interest in the litigation.

DISPOSITION:

Same disposition as above in 302-02.



## SECTION 3

### GROUP 3

#### Investigative Files

- 303-01 Customer Inquiry Files - Arranged alphabetically by name of customer by fiscal year.

Specific requests, inquiries, and general discussions of customer concern, and CFTC responses.

DISPOSITION:

Break at end of fiscal year. Maintain in office. DESTROY 3 years after end of fiscal year.

- 303-02 Matter Files - Arranged by region and thereunder numerically by fiscal year.

Customer complaints, reparation claims, referrals, interview notes, affidavits, depositions, witnesses' statements, notes, memoranda, investigative reports, subpoenas, and other subfiles.

DISPOSITION:

Close file when:

1. The matter under investigation reaches litigation. The matter file at this point becomes a case file (See also 303-06.)
2. If for any reason the matter is closed without litigation, the file is closed by a "closing memorandum." Break the file when all actions have been completed by fiscal year. Maintain in office for two years after close of file. Transfer to FARC. DESTROY 5 years after file is closed.

- 303-03 Matter Control Cards - Arranged alphabetically by name of primary respondent.

Control cards which document action taken on matters as they are investigated.

DISPOSITION:

1. If matter becomes a case transfer to case control cards.
2. Break closed matter control cards by fiscal year. Maintain in office two years after case is closed. Transfer to FARC. DESTROY when 5 years old.

3-04

Cumulative Matter Register - Arranged chronologically by fiscal year.

List of matters under investigation.

DISPOSITION:

DESTROY when no longer needed. Clearly indicate status of closed cases in register.

303-05

Matter/Case Index Cards - Arranged alphabetically by subject.

Cross-references to subjects in the Matter/Case files.

DISPOSITION: PERMANENT.

Maintain as a reference aid.

*Offer to NARS in 10 year  
when 20  
years  
old.*

303-06

Enforcement Case Files - Arranged by assigned case numbers by region.

*NN 173-2  
item 4*  
Correspondence, pleadings, subpoenas, exhibits, transcripts, interview notes, affidavits, depositions, witnesses' statements, notes, memoranda, investigative reports, information from CFTC reporting forms, trading exchange records, financial records and reports, background data and other records relating to persons and companies believed in violation of Commission regulations or the Act.

DISPOSITION:

a. Unique enforcement case files selected by CFTC officials because the case established a precedent for changing CFTC procedures, and they meet one or more of the following criteria:

- (1) The case was the subject of extensive litigation,
- (2) The case received widespread attention from the news media,
- (3) The case was reviewed at length in the narrative portions of the CFTC annual report.

PERMANENT. Break files on completion of the case. Destroy duplicate materials. Offer to NARS when 20 years old in 10 year *when 20 years old.*

b. All other enforcement case files: Break file upon completion of case. Destroy duplicate material. Transfer to FARC when 5 years old. DESTROY when 15 years old.

303-07

Reparations Files - Arranged by case number.

*73-2  
13a2*  
Contains copies of complaints, evidence of registered mail and other records concerning complaints of violations.

DISPOSITION:

Break file at close of case. Transfer to FARC 5 years after end of fiscal year. DESTROY 10 years after end of fiscal year.

303-08 Complaint Register - Arranged by complaint number.

Summaries of complaints regarding persons suspected by the CFTC or the public of violating the CFTC Act, its rules or regulations. Included are the names of complainants, the disposition of the case, and the date the case was closed.

DISPOSITION:

Break file annually. Transfer to FARC 5 years after end of fiscal year. DESTROY 10 years after end of fiscal year.

303-09 Violation Follow-Up Files - Arranged by name of violator.

Copies of indictments and records of conviction or other dispositions in criminal actions; decisions and orders in administrative proceedings before the CFTC; exchange findings of violations of exchange rules where acts constitute violations of the Commodity Exchange Act and the rules and regulations adopted thereunto.

DISPOSITION:

~~Break file annually. Transfer to FARC 5 years after end of fiscal year. DESTROY 10 years after end of fiscal year.~~

(2, .

SECTION 3

GROUP 4

Litigation and Appeals

304-01 Litigation Files of the Office of General Counsel - Arranged alphabetically.

Consists of pleadings, briefs, hearings, opinions, correspondence, memoranda, and related records concerning cases where CFTC is in litigation or has an interest in the litigation.

DISPOSITION:

- NN 173-2  
item 4b*
- a. Routine cases: Break file when all actions have been completed. Transfer to FARC when 5 years old. DESTROY when 15 years old.
  - b. Cases selected by CFTC with concurrence of NARS *includes precedents in 304-02a*  
~~precedent cases, cases of national importance, and cases mentioned in the Annual Report.~~ PERMANENT. Break file when all actions have been completed. Transfer to FARC when 5 years old. Offer to NARS ~~when 20 years old~~ *in 10 year close when 20 years old.*

304-02 Docket Files - Arranged by docket number.

Consists of Reparations and Enforcement cases in adjudicatory proceedings before the Administrative Law Judges. Included are notices of hearing, pre-hearing memoranda, briefs, exhibits, transcripts of pre-hearing and hearing conferences, pleadings, motions, and related records.

EXCEPT: Enforcement Case Files - See 303-06.  
Opinion Case Files - See 302-02

DISPOSITION:

- a. Unique cases selected by CFTC officials because the case established a precedent for changing CFTC procedures, and they meet one or more of the following criteria:
  - 1. The case was the subject of extensive litigation.
  - 2. The case received widespread attention from the news media.
  - 3. The case was reviewed at length in the narrative portions of the CFTC Annual Report.

Permanent. Break files on completion of case. Destroy duplicate materials. Offer to NARS ~~20 years after close of case~~ *in 10 year close when 20 years old.*

- b. Cases not being appealed in a Federal Court: Break file upon completion of case. Transfer to the FARC 3 years after close of case. Destroy 15 years after close of case.
- c. Cases being appealed in a Federal Court: Close file upon completion of all appeals. Transfer to the FARC 2 years after close of case. Destroy 10 years after close of case.

SECTION 3

GROUP 4

Litigation and Appeals

304-02 Docket Files (con't)

- d. Microfilm Copies: Maintain as reference copy. Destroy when no longer needed or until microfilm system is approved in accordance with 41 CFR 101-11.5 as replacement for hard copy files. Submit new request for disposition to NARS when microfilming system is approved. See also Part VII of the Handbook.

*changes made  
by CFTC  
5/27/80.*

## SECTION 4

### Public Information Files

401-01 Press Release Files - Arranged numerically.

Consists of official CFTC press releases and media advisory files.

DISPOSITION:

- a. Record copy: PERMANENT. Break files annually. Transfer to FARC when 5 years old. Offer to NARS ~~when 20 years in~~ *old year below when 20 years old.* 10
- b. Other copies: DESTROY when no longer needed for reference.

401-02 News Releases Background Files - Arranged chronologically.

Consists of copies of news releases and background contributory records such as speeches, legal opinions, and summaries of action.

DISPOSITION:

Break files annually. DESTROY when 3 years old.

401-03 Press Clipping Files - Arranged chronologically.

Consists of wire service daily news clips from various papers reporting on commodities and other items of interest to CFTC.

DISPOSITION:

DESTROY when 3 months old.

401-04 Meetings and Press Briefings Files - Arranged chronologically.

Consists of printed copies of speeches and recording tapes of press briefings and meetings held by CFTC.

DISPOSITION:

Break file annually. DESTROY when 3 years old.

401-05 Biography File - Arranged by subject.

Consists of biographical data and photographs of the Chairman, the Commissioners, and the top staff of CFTC.

*amended  
by  
CFTC  
5/12/81*

DISPOSITION:

- a. Record copy, PERMANENT. Transfer to FARC when 5 years old. Offer to NARS ~~when 20 years old~~ in 10 year ~~elives~~ when 20 years old.
- b. Other copies: DESTROY when 2 years old or when no longer needed for reference, which ever is sooner.

401-06 Speech Files - Arranged chronologically.

Consists of official speeches on CFTC policies and programs delivered by the Chairman, the Commissioners and other top officials.

DISPOSITION:

- a. Record copy: PERMANENT. Break files annually. Transfer to FARC when 5 years old. Offer to NARS ~~when 20 years~~ in 10 ~~old year elives~~ when 20 years old.
- b. Other copies: DESTROY when 2 years old.

401-07 Freedom of Information Act Reports Files - Arranged chronologically.

Consists of recurring reports and one-time information requirements relating to the agency implementation of the Freedom of Information Act, including annual reports to the Congress.

DISPOSITION:

- a. Agency annual report: PERMANENT. Offer to NARS ~~when 15 years old~~ in 10 year ~~elives~~ when 15 years old.
- b. Other reports: DESTROY when 2 years old or sooner if no longer needed for administrative use.

401-08 Privacy Act Reports Files - Arranged chronologically.

Consists of recurring reports and one-time information requirement relating to agency implementation, including annual reports to the Congress of the United States, the Office of Management and Budget, and the Report on New Systems.

DISPOSITION:

- a. Agency annual report: PERMANENT. Offer to NARS ~~when 15 years old~~ in 10 year ~~elives~~ when 15 years old.
- b. Other reports: DESTROY when 2 years old.

Documentary and Promotional Film, TV Tapes, Slide Shows, Audio and Video Recordings. Arranged as appropriate.

Collections of motion picture films, audio recordings, video recordings, filmstrips, and slide sets promoting and documenting significant Commission program responsibilities.

- A. Motion Pictures. The original negative or color original plus separate optical sound track, an intermediate master positive or duplicate negative plus optical sound track, and a sound projection print of each motion picture.

RETENTION:

1. Record Copy. Permanent.
2. Distribution Copies. Retain 5 years.
3. Security Copy. Retain 1 year.

DISPOSITION:

1. Record Copy. Break file after completion of film. Offer to the National Archives when obsolete or after 5 years, whichever occurs first.
2. Distribution Copies. Break file after last showing. Keep in office 5 years, then destroy.
3. Security Copies. Break file after offering record copy to the National Archives. Keep in office 1 year, then destroy.

- B. Sound Recordings. The master tape, matrix or stamper, and one disc pressing for each conventional mass-produced multiple copy tape for each magnetic audio tape recording.

RETENTION:

1. Record Copy. Permanent.
2. Distribution Copies. Retain 5 years.
3. Security Copy. Retain 1 year.

DISPOSITION:

1. Record Copy. Break file after completion of recording. Offer to the National Archives when obsolete or after 5 years, whichever occurs first.



2. Distribution Copies. Break file after date of last request. Keep in office 5 years, then destroy.
  3. Security Copy. Break file after offering record copy to the National Archives. Keep in office 1 year, then destroy.
- C. Video Recording. The original or the earliest generation of each recording or a kinescope of the recording.

RETENTION:

1. Record Copy. Permanent.
2. Distribution Copies. Retain 5 years.
3. Security Copy. Retain 1 year.

DISPOSITION:

1. Record Copy. Break file after completion of tape. Offer to the National Archives when obsolete or after 5 years, whichever occurs first.
  2. Distribution Copies. Break file after date of last request. Keep in office 5 years, then destroy.
  3. Security Copy. Break file after offering record copy to the National Archives. Keep in office 1 year, then destroy.
- D. Finding Aids and Production Documentation. Existing finding aids such as data sheets, shot lists, catalogs, indexes, and other textual documentation necessary for the proper identification, retrieval, and use of A, B, and C, above, as well as production case files or similar files which include copies of production contracts, scripts, transcripts, or other documentation bearing on the origin, acquisition, release or ownership of the audio-visual production.

RETENTION:

1. Record Copy. Permanent.
2. Information Copies. As determined by user's needs.

DISPOSITION:

1. Record Copy. Break file after completion of production. Combine with film, recording, or tape and offer to the National Archives when obsolete or after 5 years, whichever occurs first.
2. Information Copies. Destroy after 1 year or sooner if no longer needed.

E. Printing Arrangements for Publications, Articles, and Promotional Items. Data and supporting documentation for the release and publication or production of manuscripts and promotional items. Records consist of clearances for publication, typed manuscripts, page proofs, color justifications, jacket specifications, distribution approvals.

RETENTION: Retain 3 years.

DISPOSITION: Break file upon printing or decision not to print publication or article. Keep in office for 3 years, then destroy.

401-10 Hotline Data Files - Includes forms, correspondence types or other documentation relating to incoming calls on the CFTC hotlines and follow-up files.

DISPOSITION: Break files by fiscal year. Destroy 2 years after end of fiscal year.

SECTION 5

TRADING, REGISTRATION AND SURVEILLANCE

01-01 Contract Market Designations - Arranged by name of exchange and thereunder by contract market.

Consists of industry submissions for contract market designations to a local exchange, reports from the regions in which the application is investigated, decision memoranda and supporting documentation.

DISPOSITION:

- a. Order of Designation: Permanent. Offer to NARS ~~when 20 years old~~ *in 10 year elvcs when 20 years old.*
- b. Supporting Documentation: Transfer to the FARC 5 years after vacation of designation. Destroy 20 years after vacation of designation.
- c. Other Copies: Destroy when 5 years old or no longer needed.

501-02 Contract Market Designation Reviews - Arranged by region and thereunder by contract market.

Consists of contract market submissions received from the regions and reviewed by Headquarters staff for economic and other aspects.

DISPOSITION:

Break file at close of review. Transfer to FARC 5 years after close. DESTROY 10 years after close of file.

501-03 Records Relating Terms and Conditions of Contracts - Arranged by rule number.

Consists of contract market notification to CFTC of minor modifications in the contract where no CFTC action is required.

DISPOSITION:

Break file annually. DESTROY 2 years after end of fiscal year.

501-04 Applications Relating to Registrations under the Commodity Futures Trading Commission Act - Arranged by name.

Consists of application forms, correspondence between individual, firms and agency, computer printouts of the names of those applying for registration under the Act as commodity pool operators, commodity trading advisors, floor brokers, futures commission merchants, and associated persons.

DISPOSITION:

- a. Applications for registration and related correspondence: Transfer to FARC 3 years after expiration. DESTROY when 10 years after registration has expired.

b. Computer printouts of persons registered under each category:

1. Associated persons and floor brokers: DESTROY when 5 years after end of fiscal year.
2. Commodity pool operators, trading advisors, and futures commission merchants: DESTROY when 6 months old.

501-05 Classified Investigatory Reports - Arranged by name of individual.

Consists of investigative reports classified by other government agencies and relating to fitness investigations.

DISPOSITION:

Maintain separate files of classified information. Break files annually. Transfer to FARC 5 years after end of fiscal year. DESTROY 10 years after end of fiscal year.

501-06 Card Index to Fitness Files - Arranged by name of individual.

Index cards summarizing the status and results of fitness investigations.

DISPOSITION:

Maintain and DESTROY with the related files.

501-07 Registration Program Files

Consists of general material and correspondence concerning CFTC registration program, application procedures not pertaining to a specific firm, individual, etc., registered with the Commission.

DISPOSITION:

Break files annually. Transfer to FARC when 3 years old. DESTROY 19 years after end of fiscal year.

501-08 Fitness Investigations - Arranged by name of individual.

Consists of non-routine applications forwarded from the regions and including applications for registration, biographical information questionnaires, correspondence, reports, and memoranda developed from CFTC and non-agency sources relating to the applicant's fitness to be registered.

DISPOSITION:

Transfer to FARC 3 years after registration expires. DESTROY 10 years after registration becomes inactive.

501-09 Registration Directories

Includes all microfiche-alphabetic, geographic or numeric registration directories.

NN173-2  
item 22a3

DISPOSITION:

Break files at end of fiscal year. Transfer to FARC 20 years after end of fiscal year. DESTROY 30 years after end of fiscal year. (Hard copy directories prepared before the use of microfiche will have the same retention as above. Hard copy directories prepared after the use of microfiche may be destroyed when obsolete.)

501-10 Registration Audits - Arranged by firm or exchange and thereunder chronologically.

NN173-2  
item 22  
e-1

Audit records: Consist of segregation, general and final audit files including correspondence, and comments.

DISPOSITION:

DESTROY 5 years after completion of audit unless litigation is undertaken. Dispose of litigation files in accordance with 303-06.

501-11 Control Records of Audits and Audit Assignments Regardless of Format

DISPOSITION:

Retain as needed for administrative use. DESTROY when no longer needed.

501-12 Trade Practices Investigations - Arranged by exchange.

NN173-2  
item 13a3

Consists of in-depth report of investigation of trade practices of a commodity exchange. Included are interviews with exchange officials, notes of investigators, conclusions, findings, and related information.

EXCEPT: Matter/Case Files - see 303 06.

DISPOSITION:

Break file at end of investigation. Transfer to FARC when 3 years old. DESTROY when 10 years old unless litigation is undertaken for which see 303-06.

501-13 Large Trader Report Files - Arranged by name or identifying number.

NN173-2  
item 29a

Required CFTC records of those holding reportable position. Included is information gathered from forms CFTC '01, '03, '04, '40, and 102; correspondence, memoranda, and related records. Also includes computer output tabulations relating to the '01, '03, '04, '40 and 102 reports, i.e., maturing futures worksheets, month end carry forward, etc.

## SECTION 5

Change made  
by CFTC 5/12/81  
501-13, 501-14

## Trading, Registration and Surveillance

501-13 Large Trader Report Files - Arranged by name or identifying number.

Required CFTC records of those holding reportable positions. Included is information gathered from forms CFTC - '01, '03, '04, '40, and 102; correspondence, memoranda, and related records. Also includes computer output tabulations relating to the '01, '03, '04 and 102 reports, i.e., maturing futures worksheets, month end carry forward, etc.

DISPOSITION

- a. Forms CFTC - '01, '03 and '04 reports, memoranda, correspondence and other records. Break files semi-annually. Transfer to FARC every six months. DESTROY 7 years after end of fiscal year.
- b. Forms CFTC-40 and 102 reports, memoranda, correspondence, and other records. DESTROY on site when file has been inactive 10 years.
- c. Files selected by CFTC with concurrence of NARS as having precedential value. PERMANENT. Transfer to FARC when 5 years old. Offer to NARS when 20 years old.
- d. Computer files:

Machine-readable records contain information compiled from a series of CFTC forms documenting futures position data used in the market surveillance program. The data base contains information on traders and their position on futures contracts. Reports are available on a daily, weekly or monthly basis and also upon request.

## Output products include:

1. Series '01 Outputs - Data from the series '01 forms include information required from all Futures Commission Merchants and Foreign Brokers to show each reportable position, separately for each contract market and for each future, in such account as of the close of the market on the day covered by the report. Selection can be made by days, commodities, futures or traders. Reports are produced on a daily basis. Special reports are supplied on request.

2. Series '03 Outputs - Data from series '03 forms include information on traders who hold or control a reportable position. Data base includes the first day on which a trader acquires a reportable position, for each day thereafter on which he has transactions in any futures or such commodity on any contract market or delivers or receives delivery of such commodity, and for the first day on which he no longer holds or controls a reportable position. Includes information on open contracts; purchases and sales; deliveries and receipts; and intermarket spreads.

DESTROY files of CFTC forms '01 and '03 when 10 years old.

3. CFTC Form '40 reports include identifying information from traders who hold or control open contracts of reportable size in any regulated commodity. This includes information concerning associations with other traders in futures markets and the use of the futures market for hedging. The information is used for determining compliance with speculative limits and general market surveillance.

4. CFTC Form '102 reports include information reported by futures commission merchants and foreign brokers used in the identification of "Special Accounts". Special account information includes the name of the account, type of business of the owner; specific type of account; whether the account controls the trading of any other accounts in any commodity; identifies other persons controlling the trading of the account; persons having a financial interest in the account of 10 percent or more; and whether trades and positions in the account are associated with the commercial activity of the account owner in related cash commodities.

Retain information from CFTC forms '40 and '102 indefinitely in computer memory.

- e. Tabulations for forms '01, '03; Cut off at close of fiscal year. DESTROY 5 years after end of fiscal year.

DISPOSITION:

- a. Forms CFTC-'01, '03 and '04 reports, memoranda, correspondence and other records. Break files semi-annually. Transfer to FARC every six months. DESTROY 7 years after end of fiscal year.
- b. Forms CFTC-40 and 102 reports, memoranda, correspondence, and other records. DESTROY on site when file has been inactive 10 years.
- c. Files selected by CFTC with concurrences of NARS as having precedential value. PERMANENT. Transfer to FARC when 5 years old. Offer to NARS when ~~20 years old~~ *10 year* *delivered when 20 years old.*
- d. Computer files:
  1. DESTROY files relating to forms CFTC-'01, '03 and '04 when 10 years old.
  2. RETAIN information from forms CFTC-40 and 102 indefinitely in computer memory.
- e. Tabulations for forms '01, '03, '04: Break files by fiscal year. Destroy 5 years after end of fiscal year.

501-14 Records Relating to Deliveries - Arranged by delivery points.

- NN173-2*  
*item 8a*
- a. Consists of official ~~records of deliveries and correspondence~~; reports and related material pertaining to default cases, ~~relates to both deliveries and defaults of deliveries.~~

DISPOSITION:

PERMANENT. Break file by fiscal year. Transfer to FARC 1 year after end of fiscal year. Offer to NARS when ~~20 years old~~ *10 year* *delivered*  
*correspondence relating to deliveries, when 20 years old.*

- b. Consists of transferable (delivery) notices and work papers relating to them, including appropriate form worksheets.

DISPOSITION:

DESTROY when 7 years old.

~~c. Computer Files~~

DISPOSITION:

~~Destroy when 10 years old.~~

*Changes made with*  
*CFTC concurrence*  
*8/4/80*  
*JOW*

*Item C*  
*created by*  
*CFTC*  
*3/12/81*

501-15 Log Book of Speculative Limit Violations - Arranged by fiscal year.

Listings of violations of speculative limits set by CFTC. Includes letters and related papers.



DISPOSITON:

Break file by fiscal year. Transfer to FARC 5 years after end of fiscal year. DESTROY 20 years after end of fiscal year.

501-16 Prices, Volume and Open Interest Files - Arranged by Commodity and year.

Consists of correspondence, reports and related material pertaining to price behavior, price changes, futures prices and volume of trading. Also permanent price table books.

NN173-2  
item 20

DISPOSITION:

- a. Record copy of price tables, volume of trading and open interest books: ~~Break file by fiscal year. Transfer to FARC when 5 years old. DESTROY 20 years after end of fiscal year.~~ **DESTROY when 10 years old.**
- b. Correspondence and related material: Break files by fiscal year. Transfer to FARC 5 years after end of fiscal year. DESTROY 10 years after end of fiscal year.
- c. Computer files: Destroy when 10 years old.

501-17 Special Surveys - Arranged by Commodity and year.

Consists of original reports from traders, brokers, and members of contract markets required upon special call by the Commission.

NN173-2  
item 25

DISPOSITION:

Break file by fiscal year. DESTROY 5 years after end of fiscal year.

501-18 Weekly Reports of Warehousemen - Consists of weekly reports from warehousemen covering stocks in federally licensed warehouses (CFTC-38) and related documents.

NN173-2  
item 26 d

DISPOSITION:

Break file by fiscal year. DESTROY 10 years after end of fiscal year.

(501-19) Chicago ADP Operations - The final history file consists of Machine-readable records processed by the Chicago ADP Branch containing information on daily trading and positions on futures contracts.

Disposition:

Destroy when 10 years old.

change  
made  
by  
CFTC 5/1/81

APPENDIX 3-A  
INDEX TO DISPOSITION STANDARDS

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