

NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

Schedule Number: N1-180-00-001

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of: 7/21/2023

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These items, unless subsequently superseded, may be used by the agency to disposition records.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SUPERSEDED AND OBSOLETE ITEMS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 They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling.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Item 100 was superseded by DAA-GRS-2016-0016-0001 (GRS 5.1, item 010)

Item 101 was superseded by DAA-GRS-2017-0003-0001 (GRS 5.2, item 010)

Item 102a was superseded by DAA-GRS-2017-0003-0002 (GRS 5.2, item 020)

Item 102b was superseded by DAA-GRS-2017-0003-0002 (GRS 5.2, item 020)

Item 103a was superseded by DAA-0180-2018-0006-0001

Item 104a was superseded by N1-180-09-001, item 2a

Item 104b was superseded by N1-180-09-001, item 2b

Item 105 was partially superseded by N1-180-09-003, item 13 and fully superseded by DAA-0180-2018-0007-0006

Item 106 was superseded by DAA-0180-2018-0006-0001

Item 107 was superseded by DAA-0180-2012-0002-0003

Item 108 was superseded by DAA-0180-2018-0006-0002

Item 109a was superseded by DAA-0180-2018-0007-0002

Item 109b was superseded by DAA-0180-2018-0007-0002

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Item 200a was superseded by DAA-0180-2016-0003-0001

Item 200b was superseded by DAA-0180-2016-0003-0002

Item 201 was superseded by DAA-0180-2016-0003-0005

Item 202 was superseded by DAA-GRS-2013-0002-0016 (GRS 4.1, item 010)

Item 203 was superseded by DAA-0180-2016-0003-0006

Item 300 was superseded by DAA-GRS-2017-0009-0001 (GRS 6.3, item 010)

Item 301 was superseded by DAA-GRS-2017-0007-0001 (GRS 2.2, item 010)

Item 302 was superseded by DAA-0180-2018-0005-0004

Item 303 was superseded by DAA-0180-2012-0004-0001

Item 304a was superseded by DAA-0180-2012-0004-0002

Item 304b was superseded by DAA-0180-2012-0004-0003

Item 305a was superseded by DAA-0180-2012-0004-0004

Item 306a was superseded by DAA-0180-2012-0004-0005

Item 307 was superseded by DAA-0180-2012-0004-0007

Item 308b was superseded by DAA-0180-2012-0004-0008

Item 308c was superseded by DAA-0180-2012-0004-0009

Item 309a was superseded by DAA-0180-2012-0004-0010

Item 309b was superseded by DAA-0180-2012-0004-0011

Item 309c was superseded by GRS 3.1, item 050

Item 310 was superseded by DAA-0180-2018-0007-0006

Item 311 was superseded by DAA-0180-2018-0007-0006

Item 312 was superseded by DAA-0180-2018-0007-0006

Item 313a was superseded by DAA-0180-2018-0007-0003

Item 313b was superseded by DAA-0180-2018-0007-0003

Item 400 was superseded by DAA-0180-2018-0007-0001

Item 401 was superseded by DAA-0180-2018-0007-0006

Item 402 was superseded by DAA-0180-2018-0007-0006

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Item 403 was superseded by DAA-0180-2018-0007-0002

Item 404 was superseded by DAA-0180-2018-0007-0006

Item 405 was superseded by DAA-0180-2012-0003-0001 and DAA-0180-2015-0001-0001

Item 406b was superseded by N1-180-07-001, item 1

Item 407 was superseded by DAA-0180-2015-0003-0001

Item 408a was superseded by DAA-0180-2012-0003-0005

Item 409 was superseded by N1-180-07-001, item 2, and later by DAA-0180-2015-0001-0002

Item 410a was superseded by N1-180-07-001, item 3

Item 410b was superseded by DAA-0180-2021-0001-0001

Item 410c was superseded by N1-180-08-001, item 410c

Item 411a was superseded by DAA-0180-2013-0005-0001, DAA-0180-2013-0005-0002, and DAA-0180-2013-0005-0004

Items 411b and 411c were superseded by DAA-0180-2013-0005-0003 and

DAA-0180-2013-0005-0005

Items 411d1 and 411d2 were superseded by DAA-0180-2013-0005-0006

Item 412 was superseded by DAA-0180-2018-0006-0003

Item 500 was superseded by DAA-0180-2019-0001-0002

Item 501a was superseded by DAA-0180-2018-0006-0001

Item 501b was superseded by DAA-0180-2018-0006-0001

Item 502 (bullet for "Exchange submissions for contract market designations" only) was superseded by DAA-0180-2017-0001-0001; item shown as fully superseded by DAA-0180-2019-0001-0002

Item 503 was superseded by DAA-0180-2019-0001-0002

Item 504 was superseded by DAA-0180-2019-0001-0001

Item 505 was superseded by DAA-0180-2019-0001-0001

Item 506 was superseded by DAA-0180-2019-0001-0002

Item 507 was superseded by DAA-0180-2019-0001-0001

Item 508 (bullet for "examination work papers, related correspondence" only) was superseded by

DAA0180-2016-0002-0002 and DAA-0180-2016-0002-0003; item shown as fully superseded by

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DAA-0180-2019-0001-0002

Item 509 was superseded by DAA-GRS-2017-0003-0002 (GRS 5.2, item 020)

Item 510 was superseded by DAA-0180-2019-0001-0006

Item 511a was superseded by N1-180-09-003, item 1, which was not appraised as it was covered by GRS 20, items 2a4 and 2b.

Item 511b was superseded by N1-180-09-003, items 2 and 3

Item 511c2 was superseded by N1-180-09-003, item 8

Item 511c3 was superseded by N1-180-09-003, items 8 and 9

Item 511c4 was superseded by N1-180-09-003, items 7 and 10

Item 511d was superseded by N1-180-09-003, items 20 and 21

Item 511e was superseded by N1-180-09-003, items 17, 18 and 19, which were not appraised as they were covered by GRS 20, items 1a, 1c, and 11a2, respectively.

Item 512a was superseded by DAA-0180-2018-0006-0001

Item 512b was superseded by DAA-0180-2019-0001-0002

Item 513 was superseded by DAA-0180-2019-0001-0002

Item 514 was superseded by N1-180-09-003, item 6

Item 515 was superseded by N1-180-09-003, items 20 and 21

Item 516 was superseded by N1-180-09-003, item 5

Item 517 was superseded by DAA-0180-2016-0002-0001

Item 518a was superseded by DAA-0180-2019-0001-0001

Item 518b was superseded by DAA-0180-2019-0001-0001

Item 519a was superseded by DAA-0180-2022-0003-0001

Item 519b was superseded by DAA-0180-2022-0003-0001

Item 519c was superseded by DAA-0180-2019-0001-0006

Item 519d was superseded by DAA-0180-2022-0003-0001

All above GRS supersessions were proposed by the agency, December 10, 2021.

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REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>N1-180-00.1</i>	
To: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NWML) 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		DATE RECEIVED <i>2/11/2000</i>	
1. FROM (Agency or establishment) <i>Commodity Futures Trading Commission</i>		NOTIFICATION TO AGENCY 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 <u>Adisposition not approved</u> or <u>Awithdrawn</u> in column 10.	
2. MAJOR SUBDIVISION <i>Office of the Executive Director</i>			
3. MINOR SUBDIVISION <i>Office of Information Resources Management</i>			
4. NAME OF PERSON WITH WHOM TO CONFER <i>Mr. Janis A. Vitols</i>	5. TELEPHONE <i>(202) 418-5176</i>	DATE <i>5-7-02</i>	ARCHIVIST OF THE UNITED STATES <i>John W. Carl</i>
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 <u>12</u> 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, under the provisions of Title 8 of the GAO manual for Guidance of Federal Agencies, <div style="display: flex; justify-content: space-around; align-items: center;"> <input checked="" type="checkbox"/> X is not required; <input type="checkbox"/> is attached; <input type="checkbox"/> has been requested. </div>			
DATE <i>2/7/00</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Stacy Jean Johnson</i>	TITLE <i>Counsel to The Executive Director</i>	
7. Item No.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
115-109	(SEE ATTACHED)		
<i>Agency OR NWML D NUM?</i>		STANDARD FORM SF 115 (REV. 3-91) Prescribed by NARA 36 CFR 1228	

**COMMODITY FUTURES TRADING COMMISSION
PROPOSED RECORDS DISPOSITION SCHEDULE**

CFTC-Wide Files

Office	Item No.	Name of Record	Description of Record	Status Perm/Temp	Authorized Disposition	Superseded Disposition Authority	Medium
ALL	100	Office Organization Files	Organization and functional charts, staffing and assignments documents	Temporary	Destroy when superseded, obsolete or no longer needed.	NC1-180-80-1 101-04	Paper
ALL	101	Reading or Chronological Files	Copies of correspondence, memos, etc., maintained by originating office for reference.	Temporary	Destroy 1 year after end of FY or when reference value has ended.	NC1-180-80-1 101-11	Paper
ALL	102	Individual or Staff Working Papers	Project background records such as drafts, studies, analyses, notes, etc., used to create the paper record copy of a document.				
	102a		a. Paper version	Temporary	Destroy 6 months after final action or 3 years after completion of report if no final action is taken.	NC1-180-80-1 101-14	Paper
	102b		b. <i>Electronic version used to produce paper working or final documents.</i>	Temporary	<i>Destroy within 180 days after the recordkeeping copy has been produced or when no longer needed.</i>	NEW TO NARA	Electronic
ALL	103	Program Subject Files	Program correspondence, interoffice and interagency memos, reports, studies, proposals and related materials dealing with CFTC program matters.				
	103a		a. Records documenting the programs of the CFTC which are not sent to the central files of the Chairman or Commissioners	Permanent	Offer to NARA in 10 year blocks when 20 years old.	NC1 180-80-1 102-01a	Paper
ALL	104	Administrative Procedures	<i>CFTC-wide or Office/Division policies and procedures distributed as instructions, advisories, memos, notices, orders, or circulars.</i>				
	104a		a. <i>EEO, Sexual Harassment, Grievance and Merit Promotion policies and procedures.</i>	Temporary	<i>Destroy 2 years after superseded.</i>	<i>New to NARA</i>	<i>Paper, Electronic</i>
	104b		b. <i>General policies and procedures</i>	Temporary	<i>Destroy when superseded.</i>	<i>New to NARA</i>	<i>Paper, Electronic</i>

Office	Item No.	Name of Record	Description of Record	Status Perm/Temp	Authorized Disposition	Superseded Disposition Authority	Medium
ALL	105	Publications	Pamphlets, reports, manuals and other published documents	Permanent	Offer to NARA in 10 year blocks when 20 year old.	NC1-180-80-1 201-03a	Paper
ALL	106	Organizational Files	Official organizational charts, narrative histories, functional charts, and related records which document the organization and function of the CFTC.	Permanent	Offer to NARA in 10 year blocks when 20 years old.	NC1-180-80-1 201-06a	Paper
ALL	107	Recurring Management Reports	Internal management reports, including monthly reports, Quarterly Objectives, GPRA and strategic planning documents and management tools (other than budget documents.)	Temporary	Destroy when 3 years old or no longer needed, whichever is longer.	NC1-180-80-1 203-09b	Paper
ALL	108	Rules and Regulations File	Working documents of briefs, drafts and other documents pertaining to preparation, review and clearance of CFTC rules and regulations	Temporary	Destroy when 5 years old.	New	Paper
ALL	109	Conference and Meeting Documents	Agendas, speeches, and minutes of professional or educational meetings.				
	109a		a. Sponsored by CFTC	Temporary	Destroy 5 years after meeting.	New	Paper
	109b		b. Attended by CFTC staff	Temporary	Destroy 2 years after meeting or when no longer needed, which ever is longer..	New	Paper
	110	Electronic Mail and Word Processing System Copies covering all items covered by this schedule.	Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.				
	110a		copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies in shared network drives that are used only to produce the recordkeeping copy.	Temporary	Destroy/delete within 180 days after the recordkeeping copy has been produced.	New	Electronic
	110b		copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.	Temporary	Destroy/delete when dissemination, revision, or updating is completed.	New	Electronic

Office of the Inspector General Files

Office	Item No.	Name of Record	Description of Record	Status Perm/Temp	Authorized Disposition	Superseded Disposition Authority	Medium
OIG	200	OIG Audit Case Files	Case files of internal audits of agency programs, operations, and procedures and of external audits of contractors and grantees.				
	200a		a. Case files of significant value, i.e., those that involve as subjects the Chairman, Commissioners, Division Directors or Office Heads, substantive changes in agency policy, or investigations that draw national media attention.	Permanent	Offer to NARA when 10 years old.	New to NARA	Paper
	200b		b. All other case files not covered by item a.	Temporary	Destroy 20 years after FY in which audit is completed.	New to NARA	Paper
OIG	201	OIG Investigation Case Files	Investigations of agency employees or contractors and grantees in response to hotline or other requests.	Temporary	Destroy 20 years after FY in which investigation is completed.	New to NARA	Paper
OIG	202	OIG Index to Investigations	Database Index to OIG Investigations Case Files	Temporary	Destroy 20 years after FY in which investigation is completed.	New to NARA	Electronic
OIG	203	Semi-Annual Report to Congress	Report to Chairman and Congress summarizing activities of the OIG, in accordance with Sect. 5 of the IG Act.	Permanent	Offer to NARA in 10 year blocks when 20 years old.	New to NARA	Paper

Administrative Support Files

Office	Item No.	Name of Record	Description of Record	Status Perm/Temp	Authorized Disposition	Superseded Disposition Authority	Medium
OIRM	300	Long-range ADP Plans	Long-range plans for computer hardware and software support.	Temporary	Destroy 5 years after the close of the period covered by the plan.	New to NARA	Paper
OHR	301	52Tracking System Reports	Bi-weekly reports prepared on status of personnel actions.	Temporary	Destroy 2 years after close of FY in which report prepared.	New to NARA	Paper
OHR	302	Training Records	Training materials developed by the Commission.	Temporary	Destroy when 10 years old or when replaced or no longer needed for training purposes.	NC1-180-80-1 202-09a	Paper; video tape

* Superseded by:

DAA-0180-2016-003-0001, 0002, 0005, 0006 + Superseded by:

DATE (MM/DD/YYYY):

12/01/2016

DAA-GRS-2013-0002-0016

DATE (MM/DD/YYYY):

09/07/2016

Central Commission Files

Office	Item No.	Name of Record	Description of Record	Status Perm/Temp	Authorized Disposition	Superseded Disposition Authority	Medium
Sect.	303	File Subject Code and Title Key to Central Files of the Chairman and Commissioners	Electronic database containing file title and subject code keys for documents in Central Files of the Chairman and Commissioners (203-02).	Permanent	Offer to NARA with underlying records in 10 year blocks when 20 years old.	NC1-180-80-1 203-01	Electronic
Sect.	304a	Secretariat Correspondence Locator System	Electronic database that tracks and indexes documents received by the Commission and referred to other departments for action.	Permanent	Offer to NARA in 10 year blocks when 20 years old.	New to NARA	Electronic
	304b		Documentation: Regardless of medium, record layouts, coding sheets/code books, technical description of the file, Users Manuals, and any other background information that would be useful or necessary to a researcher using the file.	Permanent	Transfer a copy of the documentation with the file to NARA. Transfer updates and changes with subsequent transfer of the file.	New to NARA	Paper or Electronic
Sect.	305	Serialim Log	Chronological listing and locator of all serialim ("sign-off") decisions of the Commission				
	305a		a. Paper version	Permanent	Offer to NARA in 10 year blocks when 20 years old.	New to NARA	Paper
	305b		b. Microfiche and electronic versions.	Temporary	Destroy when 20 years old or no longer needed.	New to NARA	Microfiche, Electronic
Sect.	306a	Federal Register Database Locator System	Electronic system that cross-references Federal Register notices with records in Central Files (203-02).	Permanent	Offer to NARA in 10 year blocks when 20 years old.	New to NARA	Electronic
	306b		Documentation: Regardless of medium, record layouts, coding sheets/code books, technical description of the file, Users Manuals, and any other background information that would be useful or necessary to a researcher using the file.	Permanent	Transfer a copy of the documentation with the file to NARA. Transfer updates and changes with subsequent transfer of the file.	New to NARA	Paper or Electronic
Sect.	307	Central Files of the Chairman and Commissioners	Official documents signed-off on by the Chairman and Commissioners	Permanent	Offer to NARA in 10 year blocks when 20.	NC1-180-80-1 203-02	Paper, Microfiche
Sect.	308	Records and Official Minutes of Commission Meetings	Staff documents, agendas, supporting documentation presented to Commissioners, meeting transcripts, record of votes and similar material. Sub-categories of records are:				
	308a		a. Microform records.				
	308a-1		a.1. Microform records of open and closed meetings	Permanent	Offer silver halide master, plus one diazo or vesicular copy to NARA in 10 year blocks when 20 years old.	N1-180-88-4 203-04a1	Microform
	308a-2		a.2. Public version microform records of open meetings	Permanent	Offer silver halide Master, plus one diazo or vesicular copy to NARA in 10 year blocks when 20 years old.	N1-180-88-4 203-04a2	Microform
	308b		b. Paper Records	Permanent	Offer to NARA in 10 year blocks when 20 years old.	N1-180-88-4 203-04b	Paper

Office	Item No.	Name of Record	Description of Record	Status Perm/Temp	Authorized Disposition	Superseded Disposition Authority	Medium
	308c		c. Index to records and official minutes of Commission meetings (was 203-06).	Permanent	Transfer with underlying records in 10 year blocks when 20 years old.	New	Electronic
	308d		Documentation: Regardless of medium, record layouts, coding sheets/code books, technical description of the file, Users Manuals, and any other background information that would be useful or necessary to a researcher using the file.	Permanent	Transfer a copy of the documentation with the file to NARA. Transfer updates and changes with subsequent transfer of the file.	New to NARA	Paper or Electronic
Sect.	309a	Tapes of Commission Meetings	a. Original sound recordings of open and closed meetings.	Permanent	Transfer to off-site storage when 5 years old. Offer to NARA when 10 years old.	N1-180-91-2 203-07	Audio Tape
	309b	<i>See page 5a SJ 7/29/2011</i>	b. Index to recordings (was 203-06).	Permanent	Transfer with underlying records in 10 year blocks when 20 years old.	New	Electronic
	309c		Documentation: Regardless of medium, record layouts, coding sheets/code books, technical description of the file, Users Manuals, and any other background information that would be useful or necessary to a researcher using the file.	Permanent	Transfer a copy of the documentation with the file to NARA. Transfer updates and changes with subsequent transfer of the file.	New to NARA	Paper or Electronic
Sect.	310	Speeches and Testimony	Official speeches and Congressional testimony on CFTC policies and programs by the Chairman and Commissioners.	Permanent	Offer to NARA in 10 year blocks when 20 years old.	NC1-180-80-1 401-06a	Paper
Sect.	311	Freedom of Information Act (FOIA) Reports	Annual FOIA report to OMB for Congress	Permanent	Offer to NARA in 10 year blocks when 15 years old.	NC 1-180-80-1 401-07a	Paper
Sect.	312	Privacy Act Reports	Annual Privacy Act report to OMB for Congress	Permanent	Offer to NARA in 10 year blocks when 15 years old.	NC1-180-80-1 401-08a	Paper
Sect.	313a	Petitions for Confidential Treatment of Documents and Information	a. Petitions for confidential treatment of regulatory filings. Maintained as a separate item for FOIA purposes per Executive Order 12800.	Temporary	Cut off by fiscal year. Transfer to microfiche in two years. Destroy in 10 year blocks when 20 years old.	New to NARA	Paper, microfiche
	313b		b. Index to petitions for confidential treatment.	Temporary	Cut off by fiscal year. Transfer to microfiche in two years. Destroy in 10 year blocks when 20 years old.	New to NARA	Electronic

Offices of the Chairman Files

Office	Item No.	Name of Record	Description of Record	Status Perm/Temp	Authorized Disposition	Superseded Disposition Authority	Medium
OLIA	400	Congressional Correspondence	Letters signed by the Director, Office of Legislative and Intergovernmental Affairs, dealing with constituent requests and transmittal of information to Members of Congress.	Temporary	Destroy one year after calendar year in which Member departs Congress.	NC1-180-80-1 203-03b	Paper
OPA	401	Press Release Files	Official CFTC press releases and media advisory file.	Permanent	Offer to NARA in 10 year blocks when 20 years old.	NC1-180-80-1 401-01a	Paper
OPA	402	CFTC Backgrounders	In-depth news releases, weekly advisories and opinions updates.	Temporary	Destroy when 3 years old or when no longer needed, whichever is longer.	NC1-180-80-1 401-02	Paper
OPA	403	Press Clippings	Contains electronically scanned compilation of news relevant to the CFTC, distributed as the Daily News Clips.	Temporary	Destroy after 5 years or when no longer needed for research, whichever is longer.	New	Electronic

Item 309a Recordings of open and closed Commission Meetings

Description: Recordings of open and closed Commission Meetings.

Disposition: **PERMANENT.** Cut off annually. Transfer analog recordings to the National Archives when 10 years old. Pre-accession digital recordings to the National archives when 3 years old. Transfer legal custody to the National Archives when 10 years old.

Supersedes: N1-180-91-2, item 203-07

Item 309b Index to Commission meeting recordings

Description: Electronic index including but not limited to the following information: recording dates, brief statement of meeting topic, number of tapes to record each meeting, whether open or closed meeting, and any recording flaws

Disposition: **PERMANENT.** Cut off annually. Pre-accession to the National archives when 3 years old. Transfer legal custody to the National Archives when 10 years old.

Supersedes: N1-180-91-2, item 203-06.

OPA	404	Biography File	Biographical data and photographs of the Chairman and Commissioners.	Permanent	Offer to NARA in 10 year blocks when 20 years old.	NC1-180-80-1 401-05a	Paper and photos
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Investigatory and Litigation Files

Office	Item No.	Name of Record	Description of Record	Status Perm/Temp	Authorized Disposition	Superseded Disposition Authority	Medium
Proc./ Enf.	405	Customer and Official Inquiry Files	Responses to letters requesting information on the reparations program, the short form recording reparations complaint information and correspondence regarding complaints received against non-registrants.	Temporary	Destroy 3 years after end of the FY.	NC1-180-80-1 303-01	Paper, electronic
Enf.	406	Investigatory Files	Customer complaints, reparations claims, referrals, interview notes, affidavits, depositions, witness statements, and other relevant documentation.				
	406a		a. Investigatory file closed when investigation reaches litigation and matter becomes case file.	Temporary	Investigation becomes case file – see 303-06	NC1-180-80-1 303-02a	Paper, video, audio, diskette
	406b		b. In matter closed without litigation, (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) other documents identified by staff as important to retain; (5) case material which must be held due to FOIA or Privacy Act concerns.	Temporary	Transfer to off-site storage 90 days after close of investigation. Destroy 5 years after close of investigation.	NC1 180-80-1 303-02b	Paper, video, audio
	406c		c. If matter is closed without litigation, documents and other materials not material to the decision to close the investigation (i.e., materials other than those described in 406b.)	Temporary	Destroy or return documents to person who submitted them to the Commission within 90 days after close of investigation.	New to NARA	Paper, video, audio
Enf.	407	Enforcement Investigation Database Tracking System	Lists status of matters under investigation.	Temporary	Destroy 15 years after close.	New to NARA	Electronic
Enf.	408	Enforcement Case Files	Correspondence, pleadings, subpoenas, exhibits and all documents relating to persons or companies believed in violation of CFTC regulations or the Act.				
	408a		a. Unique enforcement case files selected by CFTC as precedent-setting and that meet one or more of the following criteria: 1. The case was the subject of extensive litigation. 2. The case received widespread news media attention. 3. The case was reviewed at length in the narrative portions of the CFTC annual report.	Permanent	Break at completion of case. Offer to NARA in 10 year blocks when 20 years old. Provide paper records, transcripts of audiotapes and printouts of electronic records. Destroy audio and electronic versions prior to transfer to NARA.	NC1 180-80-1 303-06a	Paper, video, audio, diskette

item 405
Superseded by:
DAA-0180-2015-0001-0001
DATE (MM/DD/YYYY):
12/09/2015

item 407
Superseded by:
DAA-0180-2015-0003-0001
DATE (MM/DD/YYYY):
01/04/2016

Office	Item No.	Name of Record	Description of Record	Status Perm/Temp	Authorized Disposition	Superseded Disposition Authority	Medium
	408b		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.	Temporary	Transfer to off-site storage 90 days after close of case. Destroy 15 years after close of case.	NC1 180-80-1 303-06b	Paper, video, audio
	408c		c. In closed enforcement cases, documents and materials not material to the decision to close the case (i.e., materials other than those described in 408b.	Temporary	Destroy or return documents to person who submitted them to the Commission within 90 days after close of investigation.		Paper, video, audio
Proc.	409	Reparations Complaint Files	Original case files of reparations cases closed in the complaint section.	Temporary	Transfer to off-site storage 3 years after FY in which case is closed. Destroy 10 years after FY in which case is closed.	NC1 180-80-1 303-07	Paper
OGC	410	OGC Litigation Files	Pleadings, briefs, hearings, opinions, and correspondence related to litigation CFTC is involved or had interest in.				
	410a		a. Routine cases	Temporary	Transfer to off-site storage when 3 years old.. Destroy when 15 years old.	NC1-180-80-1 304-01a	Paper
	410b		b. Cases selected by CFTC with concurrence of NARA using the following criteria: 1. The case was subject to extensive litigation. 2. The case received widespread news media attention. 3. The case was reviewed at length in the narrative portion of the CFTC annual report.	Permanent	Transfer to off-site storage when 3 years old. Offer to NARA in 10 year blocks when 20 years old.	NC1-180-80-1 304-01b	Paper
Proc.	411	Original Docket Files	Reparations and enforcement cases in proceedings before the Administrative Law Judges. Record categories:				
	① 411a		a. Unique or precedent-setting cases selected by CFTC that meet the at least one of the following criteria: 1. The case was subject to extensive litigation. 2. The case received widespread news media attention. 3. The case was reviewed at length in the narrative portion of the CFTC annual report.	Permanent	Transfer to off-site storage 3 years after close. Offer to NARA in 10 year blocks when 20 years old.	NC1-180-80-1 304-02a	Paper, audio; electronic
	② 411b		b. Enforcement cases	Temporary	Transfer to off-site storage 3 years after close. Destroy 15 years after close.	NC1-180-80-1 304-02b	Paper, audio; electronic
	411c		c. Reparations cases	Temporary	Close case after completing appeal. Transfer to off-site storage 2 years after close. Destroy 10 years after close.	NC1-180-80-1 304-02c	Paper, audio; electronic
	411d		d. Docket tracking systems that track status of enforcement and reparations cases				

① Item 411a
Superseded by: ~0001
DAA-0180-2013-0005-0002
0004

DATE (MM/DD/YYYY):

08/08/2017

② Items 411b & c
Superseded by: ~0003
DAA-0180-2013-0005-0005

DATE (MM/DD/YYYY):

08/08/2017

Item 409
Superseded by:
DAA-0180-2015-001-0002

DATE (MM/DD/YYYY):

12/09/2015

Page 7

Office	Item No.	Name of Record	Description of Record	Status Perm/Temp	Authorized Disposition	Superseded Disposition Authority	Medium
(3)	411d.1.		d.1. Enforcement case tracking system	Temporary	Destroy 10 years after close	New to NARA	Electronic
	411d.2.		d.2. Reparations case tracking system	Temporary	Destroy 15 years after close	New to NARA	Electronic
OGC	412	Opinion Case Files	Options memoranda, draft decisions and related research materials prepared in the development of Commission opinions in reparation and enforcement cases appealed to the Commission.	Temporary	Transfer to off-site storage when 3 years old. Destroy when 10 years old.	NC1 180-80-1 302-02b	Paper

Program Office Files

Office	Item No.	Name of Record	Description of Record	Status Perm/Temp	Authorized Disposition	Superseded Disposition Authority	Medium
T&M, DEA	500	Records Related to Rule Review	Correspondence, copies of proposed rule changes, decisions memos, and related documents.	Temporary	Destroy 10 years after date of submission or when no longer needed, whichever is longer.	NC1-180-80-1 301-02	Paper
T&M, OGC, DEA	501	Staff Interpretive Letters	Letters responding to public inquiry regarding legal implications of provisions of the Commodity Exchange Act, or requests for interpretation, or no-action position or an exemption.				
	501a		a. Unique interpretive letters selected by CFTC because they set precedent and they were subject to litigation, received widespread attention in the legal press, or were reviewed at length in the Annual Report.	Permanent	Offer to NARA in 10 year blocks when 20 years old.	NC1-180-80-1 302-01a	Paper
	501b		b. All other staff letters	Temporary	Destroy when 15 years old.	NC1-180-80-1 302-01b	Paper
DEA	502	Contract Market Designation and Rule Change Reviews	Exchange submissions for contract market designations, rule changes, decision memoranda, comment letters and supporting documentation.	Temporary	Transfer to off-site storage 3 years after vacation of designation. Destroy 20 years after designation is vacated.	NC1-180-80-1 501-01	Paper
T&M	503	Changes to Terms and Conditions of Contracts	Contract market notification to CFTC of minor modifications in contracts where no CFTC action is required.	Temporary	Destroy 2 years after end of FY.	NC1-180-80-1 501-03	Paper
NFA	504	Applications for Registration	Registration applications and related documentation, including supplementary attachments, correspondence with the applicant, reports, memoranda regarding information about applicant. Types of registrations include: Futures Commission Merchants (FCMs), Introductory Brokers (IBs), Commodity Pool Operators (CPOs), Commodity Trading Advisors (CTAs), Leverage Transaction Merchants (LTMs), their respective Associated Persons (APs) and Floor Brokers (FBs), Agricultural Trade Option Merchants and Floor Traders.	Temporary	After registrant becomes inactive, records retained at NFA for 2 years, then retained off-site for 8 years. Destroy 10 years after registrant becomes inactive or when no longer needed, whichever is longer.	NC1-180-85-1 501-04b1 and b2	Paper and electronic
T&M/N FA	505	Registration Fitness Investigations	Fingerprint cards and "rap sheets" for all applicants. Applications to withdraw registration and other applications, documents and investigative reports describing disciplinary history for applicants subject to investigation or litigation.	Temporary	Destroy 10 years after case closed.	NC1-180-85-1 501-06a and b	Paper and electronic

(3) Item 411d.1. + 411d.2.

Superseded by:

DAA - 0180-2013-0005-0006

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08/08/2017

* Item 502

Superseded by:

DAA - 0180-2017-0001-0001

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06/21/2017

Office	Item No.	Name of Record	Description of Record	Status Perm/Temp	Authorized Disposition	Superseded Disposition Authority	Medium
T&M	506	Registrant Financial Reports and Disclosure Documents	Financial reports filed by FCMs, IBs, LTM's, commodity pools; disclosure documents filed by CPOs and CTAs; report review forms of audit branch staff that are not the subject of investigation or litigation.	Temporary	Destroy when 5 years old.	N-180-88-3 501-08a1	Paper and electronic
T&M	507	Registration Directories	All alphabetic, geographic or numeric registration directories.	Temporary	Destroy when 10 years old or when no longer needed, whichever is longer.	NC1-180-80-1 501-09	Paper, microform
T&M	508	Financial Surveillance Files	Audit records consisting of examination work papers, related correspondence, notices from registrants and documentation of ongoing surveillance activities. Non-routine projects and analyses relating to enforcement of financial, reporting and recordkeeping rules.	Temporary	Destroy work papers and correspondence files 5 years after completion of audit unless litigation is involved (in which case file becomes litigation file under 303-06). Destroy correspondence file documents 5 years after generation unless document relates to current registrant/SRO policies and procedures.	NC1-180-80-1 501-10	Paper
T&M	509	Financial Examination Control Records	Audit branch project control records	Temporary	Destroy 6 months after close of fiscal year or when no longer needed, whichever is later.	NC1-180-80-1 501-11	Paper and electronic
T&M	510	Trade Practice Investigations	In-depth report of investigations of trade practices of a commodity exchange. To include notes, findings, conclusions and related records.	Temporary	Destroy when 10 years old.	NC1-180-80-1 501-12	Paper
DEA	511	Large Trader Report File/ Integrated Surveillance System	CFTC-required records of those holding reportable position. Includes futures and option large trader positions and transactions reports from reporting firms; special account identification reports; and reports from large traders including futures and option positions and transactions reports, statements of large traders (form 40s), and cash position reports. These records are to be managed as follows:				
	511a		a. Paper reporting of futures options and cash positions and/or transactions.	Temporary	Transfer to off-site storage every 6 months. Destroy 5 years after end of FY.	N1-180-87-1 501-13a	Paper
	511b		b. Paper reporting of account and trader identification and memoranda and other records concerning reporting or trading by reporting firms and traders.	Temporary	Destroy information on site for all traders for whom no information has been required to be collected in the last 5 years.	N1-180-87-1 501-13b	Paper
	511c		c. Computer records.				
	511c-1a		c.1.a. Copy of original computer records transmitted by reporting firms.	Temporary	Purge files after 5 years.	N1-180-87-1 501-13d1	Electronic
	511c-1b		c.1.b. Standard formatted files	Temporary	Purge files after 5 years	N1-180-87-1 501-13d1	Electronic
	511c-2		c.2. Special account information from form 102 (regulation 17.01).	Temporary	Retain while account is active. Purge file when data for an account has not been received for one year.	N1-180-87-1 501-13d2	Electronic
	511c-3		c.3. Trader information from forms 102 (regulation 17.01) and 40 (regulation 18.04) and trader cancellation records.	Temporary	Retain current information while trader is active. Purge file when data for a trader has not been received for five years.	N1-180-87-1 501-13d3	Electronic
DEA	511c-4		c.4. For option and futures large trader position records the following at the special account level:	Temporary	Purge after 10 years.	N1-180-87-1 501-13d4	Electronic Tape
			-- Report date.				
			-- Contract market identifier.				
			-- Option class.				

* Item 508
Superseded by:

Superseded by:

Proposed Records Disposition Schedule

DA-0190-2016-0002-0003

DATE (MM/DD/YYYY):

11/10/2016

DATE (MM/DD/YYYY):

Page 9

Office	Item No.	Name of Record	Description of Record	Status Perm/Temp	Authorized Disposition	Superseded Disposition Authority	Medium
			-- Type of option (European or American).				
			-- Futures expiration date.				
			-- Option expiration date.				
			-- Strike price.				
			-- Long and short futures position.				
			-- Nominal option position for each quadrant.				
			-- Exchange of futures for cash.				
			-- Delivery notices issued and stopped.				
			-- The following special account information:				
			- Account number used by the firm.				
			- Type of Account				
			-- The following trader information:				
			- Identification number of the primary trader.				
			- Trader name.				
			- Commercial classification.				
			- State or country code.				
	511d		d. Weekly surveillance Reports and Special Surveillance Projects including collections under Regulation 18.05 and limited calls under Part 21.	Temporary	Destroy after 10 years.	N1-180-87-1 501-13e	Paper
	511e		e Documentation. Regardless of medium, record layout, coding sheets/code books, technical description of the file and user manuals	Temporary	Destroy or delete when superseded or obsolete, or upon authorized deletion of the related database, or upon destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.		Electronic
DEA	512	Records Relating to Deliveries	Consist of two categories of records:				
	512a		a. Reports and correspondence pertaining to default cases.	Permanent	Offer to NARA in 10 year blocks when 20 years old.	1-180-87-1 501-14a	Paper
	512b		b. Correspondence related to deliveries, delivery notices and related work papers.	Temporary	Destroy when 5 years old.	N1-180-87-1 501-14b	Paper
DEA	513	Log Book of Speculative Limit Violations	Listings and related papers concerning speculative limit violations.	Temporary	Destroy 5 years after end of FY.	NC1-180-80-1 501-15	Paper
DEA	514	Options & Futures Prices, Volume and Open Interest	Reports pertaining to futures and options prices, open interest and volume of trading.	Temporary	Destroy when 10 years old or when no longer needed, whichever is longer.	N1-180-87-1 501-16b	Electronic tape
DEA	515	Options & Futures Market-Wide Survey or Calls	Reports from traders, brokers and others when required by special call from CFTC under Part 21.	Temporary	Destroy 5 years after the end of the FY.	N1-180-87-1 501-17	Paper, electronic
DEA	516	Clearing Member Futures and Options Positions and Transactions	Machine readable and hard copy reports of position and transactions of clearing members required by Regulations 16.00 and 16.04.	Temporary	Destroy records when 6 months old.	N1-180-87-1 501-19a	Electr., tape
T&M	517 *	Self-Regulatory Organization Reviews	Correspondence, interoffice memos, reports, studies, proposals and related material dealing with program reviews.	Temporary	Close when completed, destroy 10 years after close.	New to NARA	Paper
T&M NFA	518	Disciplinary Actions	Correspondence, interoffice memos, reports, studies and related material dealing with exchange disciplinary actions.				
	518a		a. Paper records retained by CFTC	Temporary	Close when complete, destroy 10 years after close.	New to NARA	Paper

* item 517
Superseded by:

Office	Item No.	Name of Record	Description of Record	Status Perm/Temp	Authorized Disposition	Superceded Disposition Authority	Medium
	518b		<i>b. Beginning August 1999, electronic records kept by NFA</i>	<i>Temporary</i>	<i>Destroy 10 years after close or when no longer needed, whichever is longer.</i>	<i>New to NARA</i>	<i>Electronic</i>
T&M DEA	519	Exchange Database System (EDBS)	Record of all cleared trades and time-and-sales data from all domestic commodity exchanges				
	519a	Original File-	CTR, GLOBEX, Time and Sales, Trade Register	Temporary	Destroy 10 years after the end of the fiscal year in which the data was submitted.	New to NARA	Electronic
	519b	Standard Formatted File	CTR, GLOBEX, Time and Sales, Trade Register	Temporary	Destroy 10 years after the end of the fiscal year in which the data was submitted.	New to NARA	Electronic
	519c	Reports	EDBS Reports, End User Extractions, CME Cross-Reference Commodity Code File, CBT Account Mask File, Commodity Code Description File, Trade Type Code file	Temporary	Destroy 10 years after the end of the fiscal year in which the data was submitted.	New to NARA	Electronic, Paper
	519d	Documentation	Metadata	Temporary	Destroy or delete when superceded or obsolete, or upon authorized deletion of the related system if the output is needed to protect legal rights, whichever is latest.	New to NARA	Electronic