

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

Schedule Number N1-180-09-002

All items in this schedule are inactive Items are either obsolete or have been superseded by newer NARA approved records schedules

Explanation / Description

This schedule has been superseded by the following schedules

DAA-GRS-2013-0005-0003 (GRS 3 1 / 051)
DAA-GRS-2013-0005-0004 (GRS 3 1 / 020)
DAA-GRS-2013-0006-0003 (GRS 3 2 / 030)
DAA-GRS-2017-0003-0002 (GRS 5 2 / 020)
DAA-0180-2019-0001

Date Reported 12/04/2019

INACTIVE - ALL ITEMS SUPERSEDED OR OBSOLETE

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>N1-180-09-2</i>	
To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD; COLLEGE PARK, MD 20740-6001		Date received <i>9/15/09</i>	
1. FROM (Agency or establishment) Commodity Futures Trading Commission		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
2. MAJOR SUBDIVISION			
3. MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Crystal Zeh	5. TELEPHONE NUMBER 202-418-5035	DATE <i>18 Jan 11</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</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 3 page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE September 9, 2009	SIGNATURE OF AGENCY REPRESENTATIVE <i>Crystal Zeh</i>		TITLE Records Management Officer
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See attached.		

Item No.	Description of Item and Proposed Disposition	GRS or Superseded Job Citation	Action Taken (NARA Use Only)
1	<p><u>Regulatory Statement Review (RSR) Express and Supporting Environment.</u></p> <p><i>System Description</i></p> <p>RSR is used to receive and review financial statements submitted to the Commission by registrants called futures commission merchants (FCMs) and dually registered FCM/broker dealers in accordance with Commission Rules.</p> <p>Unless specified, these disposition instructions apply to RSR records regardless of medium or format. If the disposition instructions do not specify a medium, the record copies may be maintained in paper or electronically.</p> <p><i>Disposition Instructions</i></p> <p>a. System Input</p> <p>1. Hard copy documents</p> <p>Disposition: Temporary. Destroy when data have been entered into database and verified, or when no longer required to support reconstruction of the database, whichever is later.</p> <p>2. Electronic documents.</p> <p>Disposition: Temporary. Delete when data have been entered into database and verified, or when no longer required to support reconstruction of the database, whichever is later.</p> <p>b. System Content</p> <p>1. Financial statement data and notes. INCLUDES, BUT NOT LIMITED TO, ELECTRONIC DATA REQUIRED OF DCO'S BY 17 CFR PART 39.19 (C)(2) AND (C)(3), AND 17 CFR PART 39.11(f)(1), AND OF FCM'S <i>includes electronic data required by 17 CFR § Part 1.10(b), to be submitted to the Commission by registrants.</i> <i>R Baer 12/6/2017</i></p> <p>Disposition: Temporary. Delete 5 years after the statement date.</p> <p>2. Edit check formulas.</p> <p>Disposition: Temporary. Delete when system is no longer operational.</p>	<p>in accordance to Commission rules. Submitters include, but are not limited to, registered entities, such as derivatives clearing organizations (DCOs) and registrants, such as futures commission merchants (FCMs) and dually-registered FCM/broker dealers.</p> <p>GRS 20, Item 2a4</p> <p>GRS 20, Items 2c</p>	<p>he 1/31/13</p> <p>Includes, but is not limited to, electronic data required by DCO's by 17 CFR Part 39.19 (C)(2), (C)(3), & (C)(4), and of FCMs by 17 CFR Part 1.10(b)</p> <p>he 1/31/13</p>

Item No.	Description of Item and Proposed Disposition	GRS or Superseded Job Citation	Action Taken (NARA Use Only)
	<p>3. Registrant (firm) data.</p> <p>Includes electronic data about registrants, such as firm name address, and other identifying information. Also includes contact names and contact information. Also includes notes about registrants.</p> <p>Disposition: Temporary. Delete when there are no longer any financial statements for a particular registrant in system.</p> <p>4. PIN agreements and data.</p> <p>Includes PIN agreements and PIN-related data.</p> <p>(a) Before 1/2010: pin numbers, tax IDs, and PIN agreements.</p> <p>Disposition: Temporary. Destroy/delete 5 years after the end date of PIN agreement.</p> <p>(b) After 1/2010: tax IDs.</p> <p>Disposition: Temporary. Destroy/delete 5 years after the end of the PIN agreement.</p> <p>5. Notice letters and data entered into the system regarding notices.</p> <p>Includes notice letters required by 17 CFR § Part 1.12, among (FOR FCMs) AND 17 CFR PART 39.14 c)(4) (FOR DCJ's) AMONG others, to be submitted by registrants to the Commission notifying staff of a possible rule violation or other event. Also includes information about analysis and action undertaken by Commission staff as a result of the notice. Revised 12/6/2017</p> <p>Disposition: Temporary. Delete 5 years after the notice date.</p> <p>6. Entity data.</p> <p>Includes electronic data about contacts at designated clearing organization.</p> <p>Disposition: Temporary. Delete 5 years after then end date of a contact.</p>		

Item No	Description of Item and Proposed Disposition	GRS or Superseded Job Citation	Action Taken (NARA Use Only)
	<p>c. System Output</p> <p>1—Outputs, such as printouts or copied, extracted or merged data files generated from RSR that support another programmatic function.</p> <p>Disposition—Destroy/delete in accordance with disposition authority that applies to records produced from other programmatic function.</p> <p>2—All other outputs, such as printouts or copied, extracted or merged data files used for ad hoc or one-time inspection, analysis or review, which do not contain substantive information not already included in RSR.</p> <p>Disposition—Temporary—Destroy/delete when no longer needed to conduct business.</p> <p>d. System Documentation</p> <p>1—Development documentation.</p> <p>Includes test plans, requirements and specifications, quality assurance procedures, quality guidelines, configuration management plans, detailed design documents, use cases, and other related materials.</p> <p>Disposition—Temporary—Destroy/delete 1 year after system is superseded or obsolete.</p> <p>2—System monitoring and maintenance documentation.</p> <p>Includes logs created to test system performance and monitor system use.</p> <p>Disposition—Temporary—Destroy/delete earliest log entry when log is full.</p> <p>3—User manuals, handbooks, and other related documentation.</p> <p>Disposition—Temporary—Destroy/delete when superseded or obsolete.</p>	<p>GRS 20, Item 16</p> <p>GRS 20, Item 16</p> <p>GRS 20, Item 11(a)1</p> <p>GRS 20, Items 1a, 1c</p> <p>GRS 20, Item 11(a)1</p>	

**Proposed Pen-and-Ink Change to N1-180-09-2 for RSR Express System
December 5, 2017**

Office	Rcrd Code	Name of Record	Description of Record	Perm or Temp	Authorized Disposition	Disposition Authority	Medium
DSIO	520	Regulatory Statement Review (RSR) Express	RSR is used to receive and review financial statements submitted to the Commission in accordance with Commission rules. Submitters include but are not limited to registered entities, such as derivatives clearing organizations (DCOs) and registrants, such as futures commission merchants (FCMs) and dually-registered FCM/broker dealers.				
	System Input						
	520a 1	Paper input documents	Paper documents source documents, which are scanned or data entered into RSR.	Temporary	Destroy when data have been entered into database and verified, or when no longer required to support reconstruction of the database, whichever is later.	GRS 20, Item 2a4	Paper
	520a 2	Electronic input documents	Electronic source documents, which are scanned or data entered into RSR.	Temporary	Delete when data have been entered into database and verified, or when no longer required to support reconstruction of the database, whichever is later.	GRS 20, Item 2c	Electronic
	System Content						
	520b 1	Financial statement data and notes	Includes but is not limited to electronic data required of DCOs by 17 CFR Part 39.19(c)(2) and (c)(3), and (e)(4) 17 CFR Part 39.11(f)(1); and of FCMs by 17 CFR Part 1.10(b).	Temporary	Delete 5 years after the statement date.	N1-180-09-2, Item 1b1	Electronic
	520b 2	Edit check formulas		Temporary	Delete when system is no longer operational.	N1-180-09-2, Item 1b2	Electronic
	520b 3	Registrant (firm) data	Includes electronic data about registrants, such as firm name, address, and other identifying information. Also includes contact names and contact information. Also includes notes about registrants.	Temporary	Delete when there are no longer any financial statements for a particular registrant (firm) in system.	N1-180-09-2, Item 1b3	Electronic
	520b 4	PIN agreements and data	Includes PIN agreements and PIN-related data.				
	520b 4a	PIN agreements and data	Includes agreements and data prior to 1/2010, such as PIN numbers, tax IDs, and PIN agreements.	Temporary	Destroy/delete 5 years after the end date of the PIN agreement.	N1-180-09-2, Item 1b4a	Media neutral
	520b 4b	PIN agreements and data	Includes data after 1/2010, such as tax IDs	Temporary	Destroy/delete 5 years after the end of the PIN agreement.	N1-180-09-2, Item 1b4b	Media neutral

	520b 5	Notice letters and data entered into the system regarding notices	Includes notice letters required by 17 CFR § Part 1.12 (for FCMs) and 17 CFR Part 39.19(c)(4) (for DCOs), among others, to be submitted by registrants to the Commission notifying staff of a possible rule violation or other event. Also includes information about analysis and action undertaken by Commission staff as a result of the notice.	Temporary	Delete 5 years after the notice date.	N1-180-09 2, Item 1b5	Media neutral
	520b 6	Entity data	Includes electronic data about contacts at designated clearing organizations.	Temporary	Delete 5 years after the end date of a contact.	N1-180-09-2, Item 1b6	Media neutral
	<i>System Output</i>						
	520c 1		Outputs, such as printouts or copied, extracted, or merged data files generated from the system that support another programmatic function.	Temporary	Destroy/delete in accordance with disposition authority that applies to records produced from other programmatic function.	Filing instruction	
	520c 2		All other outputs, such as printouts or copied, extracted, or merged data files used for ad hoc or one-time inspection, analysis, or review, which do not contain substantive information already included in the system.	Temporary	Destroy/delete when no longer needed to conduct business.	GRS 20, Items 5 and 16	Media neutral