



CFTC Data Delivery Standards

Effective: January 27, 2023

This document describes the technical requirements for electronic document productions to the Commodity Futures Trading Commission (CFTC). Any proposed file formats other than those described below must be discussed with the legal and technical staff of the CFTC Division of Enforcement prior to submission.



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General Instructions

Please send documents via overnight mail (1155 21st Street NW, Mailstop CPI, Washington, DC, 20581) or use the Commission's secure file transfer protocol ("FTP"); **do not produce any documents via the U.S. Postal Service.** If you are interested in sending documents using FTP, email eLaw-CPI@cftc.gov and they will provide you with the Commission's FTP credentials upon request. When sending documents via FTP, you **MUST** include the CFTC point of contact and a cover letter.

Electronic files must be produced in their native format, i.e., the format in which they are ordinarily used and maintained during the normal course of business. For example, an MS Excel file must be produced as an MS Excel file rather than an image of a spreadsheet.

(Note: An Adobe PDF file is **not** considered a native file unless the document was initially created as a PDF.)

In the event produced files require the use of proprietary software not commonly found in the workplace, please provide the CFTC a static copy of the application in order to view and process the data.

General requirements for ALL document productions are:

1. **Production of data via email is unacceptable.**
2. Reference the specific portion of the request to which you are responding, along with a summary of the number of files in the production, so that we can confirm everything is loaded into our review system.
3. All native file submissions must be organized **by custodian** unless otherwise instructed.
4. All load-ready productions should include only one data load file and one image pointer file.
5. All load-ready productions DAT file header should match the field names as indicated in the Load Ready Production field chart in section II below.
6. All load-ready text must be produced as separate text files, not as fields within the .DAT file.
7. All load-ready productions should account for custodians in the custodian field.
 - a. If using deduplication methods, provide the deduped custodians name in the *Additional Custodians* field of the DAT file.
8. Audio call files should be separated from data files if both are included in the production.
9. The preferred method of submission is via File Transfer Protocol (FTP). (See details in Section IV on page 10.)
10. Large productions (any production above 10 GB) must be submitted to the CFTC on media such as a CD, DVD, thumb drive, or hard drive. The media must be clearly marked with the following:
 - a. Matter name
 - b. Producing party
 - c. Production date
 - d. Disk number (1 of X), if applicable
11. Only alphanumeric characters and the underscore character are permitted in file names and **folder names**. Special characters are not permitted. Any data received with file names or folders with special characters, including the comma, will be rejected. **The combined length of the file path with folder and file name should not exceed 255 characters.**



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12. Include information within the cover letter regarding the time zone used if emails or other electronic files were standardized during conversion.
 - a. Load ready productions should have the time zone information in the *Time Zone Field*. It should **not** be part of the Date Sent or Time Sent Fields.
13. If you want the submitted material returned at the conclusion of the investigation you must indicate that preference in writing when the material is produced **and** the media on which it is provided **must** be encrypted.
14. All production data containing sensitive or personally identifiable information must be encrypted using FIPS 140 compliant software.
15. Provide passwords for all password-protected files or hardware in a separate transmittal.
16. All productions should be checked and produced free of computer viruses and malware. Productions containing viruses or malware may not be accepted and will require a new production.
17. If the production is created using Relativity Email Threading efforts, Duplicate Spare = No must **not** be applied.

Electronic Discovery Protocols

If a producing party wants to employ culling techniques to reduce the volume of production material, then consultation with the CFTC attorney is required to define and agree upon the requirements and applied technology. Thereafter, all productions made to the CFTC should reference the established protocol. Such methodologies may include, but are not limited to, the following criteria:

- Data Sources
- Custodians
- Date Range(s)
- Search Terms
- Deduplication
- Email Threading Usage
- Early Case Assessment (ECA) Usage
- Technology Assisted Review (TAR)
- Other Criteria, including alternative forms of analytics

Delivery Formats

I. Native File Production

Requirements for the production of native document files are listed below.

1. **Emails:** Emails and attachments must be produced as PST, NSF, DBX, MBOX, or MSG files. The file name must include the name of the email custodian. When a production consists of multiple custodians, a separate PST (or similar file) should be produced for each custodian.
2. **Account Statements:** Account statements must be produced in the same format in which they were originally created and distributed.



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3. **Instant Messages (IMs):** IMs should be produced in .PST format or a delimited text file which must include, at a minimum, the following fields:

- 1) DATE
- 2) TIME
- 3) FROM
- 4) TO
- 5) CONVERSATION_TEXT
- 6) CONVERSATION_INDEX

Multiple conversations must be produced in a single file and a conversation index or similar unique string must be used to identify all threads of the same conversation. Field names must be included in the first row of the text file.

4. **Audio Files:** Audio files from telephone recording systems must be produced in a format that is playable using Microsoft Windows Media Player™. Types of audio files that will be accepted include:

- Nice Systems audio files (.aud).
AUD files offer efficient compression and would be preferred over both NMF and WAV files.
- Nice Systems audio files (.nmf).
- WAV files
- MP3, MP4
- WMA
- AIF
- AMR
- AAC
- AIFC
- AIFF
- ALAW (European Telephony audio)
- ASF (Advanced Systems Format file developed by Microsoft that's commonly used for streaming audio and video data)
- AU
- GSM
- MP2
- MPG4
- OPUS
- PCM

Produced audio files must be in a separate folder compared to other data in the production.

Additionally, the call information (metadata) related to each audio recording **must be produced if it exists**. The metadata must include, at a minimum, the following fields:

- | | |
|--------------------|--|
| 1) Caller_Name: | Caller's name or identification number |
| 2) Calling_Number: | Caller's phone number |
| 3) Filename: | Filename of audio file |
| 4) Call_Date: | Date of call |
| 5) Call_Time: | Time of call |
| 6) Called_Party: | Name of the party called |
| 7) Called_Number: | Called party's phone number |

The filename is used to link the metadata to the produced audio file. The file name in the metadata and the file name used to identify the corresponding audio file must match exactly. The metadata file must be produced in delimited text format. Field names must be included in the first row of the text file. A sample .DAT file containing only a few fields for illustration purposes is depicted below:



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Type	Audio Trimmed	CALLER_ID	CUSTODIAN	DATE	TIME	CALLED_NUMBER
07/09/2007	09:33:03	Speaker	bb	Doe, Jane	07/09/2007	09:32:42
07/17/2007	09:17:36	Speaker	bb	Doe, Jane	07/17/2007	09:17:24
10/12/2007	08:13:12	Speaker	bb	Doe, Jane	10/12/2007	08:12:47
10/12/2007	08:18:51	Speaker	bb	Doe, Jane	10/12/2007	08:18:19
12/05/2007	07:12:14	Speaker	bb	Doe, Jane	12/05/2007	07:11:58
12/17/2007	08:40:17	Speaker	bb	Doe, Jane	12/17/2007	08:40:09
12/31/2007	09:39:12	Speaker	bb	Doe, Jane	12/31/2007	09:39:00

5. **Video Files:** Video files must be produced in a format that is playable using Microsoft Windows Media Player™ along with any available metadata. If it is known that the video files do not contain associated audio, indicate this in the accompanying transmittal letter.

Types of video files accepted include:

- MPG
- AVI
- WMV
- MOV
- FLV
- MPEG
- VOB
- QT

6. **Transcripts:** Legal transcripts must be produced electronically in manuscript form with line numbers and page numbers. The preferred format is plain text (ASCII), although LiveNote and Summation formats are acceptable.

II. Load Ready Production

While the CFTC accepts load ready productions in addition to native formats, imaged productions without native formats are not permitted unless the original document only exists in hard copy form. **When images are produced, they must comply with the requirements below.**

*****The use of file de-duplication methodologies in preparing productions is becoming more commonplace. If your production will be de-duplicated it is vital that you preserve any unique metadata associated with the duplicate files. For example, custodian name for the files deduplicated out and not provided should be populated in the Additional Custodians field for the copy of the record that is provided.*****

1. Images

- a. Black and white images must be 300 DPI Group IV single-page TIFF files.
- b. Color images must be produced in JPEG format.
- c. File names cannot contain embedded spaces or special characters (including the comma).
- d. Folder names cannot contain embedded spaces or special characters (including the comma).
- e. All image files must have a unique file name.
- f. Images must be endorsed with sequential Bates numbers in the lower right corner of each image.
- g. The number of TIFF files per folder should not exceed 500 files.



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- h. TIFF images of Excel spreadsheets are not useful for review purposes; because the imaging process can often generate thousands of pages per file, a placeholder image, named by the *IMAGEID* of the file, should be used instead, and the native Excel file should be produced.

2. Image Load Cross-Reference File

The image cross-reference file is needed to link the images to the database. It is a comma-delimited file consisting of seven fields per line. There must be a line in the cross-reference file for every image in the database.

The format is as follows:

ImageKey, VolumeLabel, ImageFilePath, DocumentBreak, FolderBreak, BoxBreak, PageCount

ImageKey: This is the unique designation that Concordance and Concordance Image and Relativity use to identify and retrieve an image. This value may be the same as the Bates number endorsed on each image.

VolumeLabel: Leave this field empty.

ImageFilePath: This is the full path to the image file on the produced storage media.

DocumentBreak: This field is used to delineate the beginning of a new document. If this field contains the letter “Y,” then this is the first page of a document. If this field is blank, then this page is not the first page of a document.

FolderBreak: This field is used to delineate the beginning of a new folder in the same manner as the *DocumentBreak* field. If this information is not available, then it may be left empty.

BoxBreak: This field is used to delineate the beginning of a new box in the same manner as the *DocumentBreak* and *FolderBreak* fields. If this information is not available, then it may be left empty.

PageCount: Leave this field empty.

Sample

```
LA-0000001,,E:\001\ LA-0000001.TIF,Y,,,  
LA-0000002,,E:\001\ LA-0000002.TIF,,,,  
LA-0000003,,E:\001\ LA-0000003.TIF,Y,,,  
LA-0000004,,E:\001\ LA-0000004.TIF,,,,  
LA-0000005,,E:\001\ LA-0000005.TIF,,,,
```



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3. Data Load File

The data load file (.DAT) contains all of the fielded information that will be loaded into a *Relativity*® database.

- a. The first line of the .DAT file must be a header record identifying the field names.
- b. The .DAT file must use the following default delimiters:
Comma ASCII character 20
Quote ª ASCII character 254
Newline ® ASCII character 174
- c. Date fields should be provided in the format: MM/DD/YYYY.
- d. If the production includes imaged emails and attachments, the attachment fields must be included to preserve the parent/child relationship between an email and its attachments.
- e. A TEXTPATH field must be included to provide the file path and name of the extracted text file on the produced storage media. The text file must be named after the Begno. Do not include the text in the .DAT file.
- f. For production with native files, a NATIVELINK field must be included to provide the file path and name of the native file on the produced storage media.
- g. BegAtt and EndAtt fields must be two separate fields.
- h. DateSent and TimeSent fields must be two separate fields.
- i. All text and metadata associated with the document collection must be produced.

Sample of .DAT file (only includes a sample of fields)

```
ªBegnoªªBegAttachªªEndAttachªªFileDescripªªFilenameªªRecordTypeªª
ªEML-0030437ªªªªªªªªOutlook Data FileªªQuestion Fill Out Form.htmªªªª
ªEML-0030438ªªªªªªªªOutlook Data FileªªRE: Your Question.htmªªªª
ªEML-0030439ªªªªªªªªOutlook Data FileªªQuestion Fill Out Form.htmªªªª
ªEML-0030440ªªªªªªªªOutlook Data FileªªLook.htmªªE-MAILªªªª
ªEML-0030441ªªªªªªªªOutlook Data FileªªQuestion Fill Out Form.htmªªªª
ªEML-0030442ªªªªªªªªOutlook Data FileªªQuestion Fill Out Form.htmªªªª
ªEML-0030443ªªªªªªªªOutlook Data FileªªQuestion Fill Out Form.htmªªªª
ªEML-0030444ªªªªªªªªOutlook Data FileªªQuestion Fill Out Form.htmªªªª
ªEML-0030445ªªªªªªªªOutlook Data FileªªATTN.htmªªE-MAILªªªª
ªEML-0030446ªªªªªªªªOutlook Data FileªªQuestion Fill Out Form.htmªªªª
ªEML-0030447ªªªªªªªªOutlook Data FileªªQuestion Fill Out Form.htmªªªª
ªEML-0030448ªªªªªªªªOutlook Data FileªªQuestion Fill Out Form.htmªªªª
```




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The metadata for the document collection should be provided in a .DAT file using the field name, definition, and formatting described below:

Field	Description	Field Type	Required
DocBeg	Displays the document identifier of the first page in a endorsed document or the entire document if provided in native.	Text	Yes
DocEnd	Page endorsement of the last page in a document (for image collections only).	Text	Yes for Image Collections
DocBegAttach	Displays the document identifier of a parent record. Must be separate from DocEndAttach field.	Text	If it Exists
DocEndAttach	Displays the document identifier of the last attached .document in a family. Must be separate from DocBegAttach field.	Text	If it Exists
Pages	Number of pages in a document (for image collections only).	Text	Yes for Image Collections
File Description	Description of a native file type.	Text	Yes
File Extension	The file type extension representing the email or native file document.	Text	Yes
Filename	Original filename of a native file.	Text	Yes for Documents
File Type	Displays the record type for each entry in the load file.	Text	Yes
Parent Document ID	Displays the document identifier of the attachment record's parent (only for attachments).	Text	If it Exists
Attachment Count	Total number of records attached to the document. The value will always be 0 (zero) for the actual attachment records.	Text	If it Exists
Attachment Bates Number	Populates parent records with document identifier of each attached record and is separated by semi-colons.	Text	If it Exists
Custodian	The owner of the record.	Text	Yes
Additional Custodian	The owner of the record who was deduplicated. If multiple names, separate by semicolon.	Text	If it Exsits
Email From	Author of the e-mail message.	Text	Yes for email
Email To	Main recipient(s) of the e-mail message.	Text	Yes for email
Email CC	Recipient(s) of "Carbon Copies of the e-mail message.	Text	If it Exists
Email BCC	Recipient(s) of "Blind Carbon Copies" of the e-mail message.	Text	If it Exists
Email Subject	Subject of the e-mail message.	Paragraph	Yes for email
Date Sent	Sent date of an e-mail message. Must be separate from TimeSent field.	MM/DD/YYYY	Yes for email
Time Sent	Time the e-mail message was sent. Must be separate from DateSent field.	Text	Yes for email
Time Zone Field	Indicates what time zone was used during processing.	Text	Yes for email



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Field	Description	Field Type	Required
Email Message ID	Internet Message ID assigned to an e-mail message by the outgoing mail server.	Text	If it Exists
Conversation Index	This is a 44 character string of numbers and letters that is created in the initial email and which as 10 characters added for each reply or forward of an email.	Text	Yes for email
Conversation Family	E-mail thread identification. Relational field for Conversion threads.	Text	Yes for email
Email Entry ID	Unique identifier of e-mails in mail stores.	Text	If it Exists
Document Author	Author value pulled from metadata of the native file.	Text	If it Exists
Document Organization	Company extracted from metadata of the native file.	Text	If it Exists
Document Subject	Subject value extracted from metadata of the native file.	Paragraph	If it Exists
Document Title	Title value extracted from metadata of the native file.	Paragraph	If it Exists
Date Created	Creation date of the native file.	MM/DD/YYYY	If it Exists
Date Last Modified	Date the native file was last modified.	MM/DD/YYYY	If it Exists
Date Last Printed	Date the native file was last printed.	MM/DD/YYYY	If it Exists
MD5Hash	MD5 hash value.	Text	Yes
Call Date	Date of call.	MM/DD/YYYY	For audio calls
Call Time	Time of call.	Text	For audio calls
Calling Number	Caller's phone number.	Text	For audio calls
Caller Name	Caller's name.	Text	For audio calls
Called Number	Called party's phone number.	Text	For audio calls
Called Party	Name of party called.	Text	For audio calls
Folder Path	Fully qualified original folder path to the source files and/or mail stores for each record.	Text	Yes
Native File	Hyperlink to the native file.	Text	Yes
Text Path	Extracted text path.	Paragraph	Yes
Image Key	Page ID of the first page of a document (for image collections only). Should be the same as the Begno field.	Paragraph	Yes
+ Any other fields considered relevant by the producing party.			

4. Text

Text must be produced as separate text files, not as fields within the .DAT file. If text is included in the .DAT file as a field, the production will be rejected. Extracted text must be in a separate folder, one text file per document. The files must be named the same as the Begno field. The number of files per folder should not exceed 500 files. There should be no special characters (including commas in the folder names).



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5. Linked Native Files

Copies of original email and native file documents/attachments must be included for all electronic productions.

- a. Native file documents must be named per the Begno field.
- b. The full path of the native file must be provided in the .DAT file for the NativeFile field.
- c. The number of native files per folder should not exceed 500 files.
- d. There should be no special characters (including commas in the folder names).

III. Productions of Adobe PDF Files

PDF files are not substitutions for native files, as metadata is lost when PDFing native files.

PDF productions that are produced as native productions will be rejected unless the files were originally created using Adobe, contains protected information that was redacted, or prior agreement is reached with the designated CFTC attorney. In those exceptions, PDF productions should adhere to the following guidelines:

1. PDF files should be produced in separate folders named by the custodian. The folders should not contain any special characters (including commas).
2. All PDFs must be unitized at the document level, i.e., each PDF should represent a discrete document; **a PDF cannot contain multiple documents. PDF packages will be rejected.**
3. All PDF files must contain embedded text that includes all discernible words within the document, not selected text or image only. This requires all layers of the PDF to be flattened first.
4. If PDF files are endorsed, the PDF files must be named by the first page of the endorsed document.
 - a. Please provide a cross reference file that lists the DocBeg & DocEnd, of each PDF.
5. If PDF files include financial statements such as credit card statements, bank statements and brokerage statements, you **must** provide quality documents by either directly converting them from their original file format or by scanning them using a minimum of 600 dpi.

IV. Productions of Website Content

Website content must be produced in native format and viewable in common web browsers (e.g. Internet Explorer, Mozilla Firefox, and Google Chrome) without the use of any additional third party software. If the only existing state of a website is in source code form, the party must produce a fully compiled version of the website in addition to the website source code with documentation of the process used to render, compile, and/or restore the website to an easily viewable form.

V. Productions of Forensic Images of Computer Media

Forensic images must be produced in a common/standard format to include (E01, Ex01, L01, Lx01, AD1, Raw Bitstream, and S01). An inventory of any original computer media must be provided with the image files. All associated log files from any forensic acquisition must be produced with the image files. The log files must contain a hash value, at a minimum (MD5,



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SHA-1, or higher), for authentication purposes. A chain of custody document must be provided to ensure the integrity of any digital evidence.

VI. Productions of Forensically Acquired Mobile Device Data

Forensically acquired mobile device data must be provided in the original format of the software/hardware used to capture the data. All original logs and authentication reports must also be provided with the respective data.

VII. FTP (File Transfer Protocol) Submission

The preferred method for producing data is via FTP. The CFTC has an FTP site set up that will allow transfer of data up to 50 GB per transmission.

If you are interested in sending documents using FTP, email eLaw-CPI@cftc.gov and they will provide you with the Commission's FTP credentials upon request. When sending documents via FTP, you **MUST** include the CFTC point of contact and a cover letter.