
Technical Guidance Document for 17 CFR Parts 15, 17, 18, and 20 Ownership and Control Reports, Forms 102/102S, 40/40S, and 71

Ownership and Control Reports
Forms 102A/102B/102S, 40/40S, and 71
Technical Guidance Document
June 30, 2014
Version ~~3~~4



CFTC
Commodity Futures Trading
Commission

This Technical Guidance Document (the “Technical Document”) provides technical specifications for transmitting Forms 102A, 102B, 102S, 40 and 71 via FTP XML submissions. This Technical Document is for informational use only, and is not a legal document. It is intended as a supplement to the OCR Final Rule (as defined below), which rule contains the regulatory requirements applicable to parties submitting the forms described above. When reviewing this Technical Document, reporting parties should review and consult the OCR Final Rule, including the requirements of the reporting forms attached as an appendix thereto. This Technical Document was drafted consistent with the OCR Final Rule, and all relevant communications from Commission staff are also intended to be consistent with the OCR Final Rule. In the event of any conflict between the requirements of the OCR Final Rule (including the questions and instructions on the reporting forms attached thereto) and either (a) this Technical

Document or (b) any verbal communications by Commission staff regarding this Technical Document or the OCR Final Rule, the OCR Final Rule controls.

Table of Contents

Change Log	4
Introduction	6
OCR Final Rule	6
Technical Requirements	6
OCR Submission Procedure(s)	6
Name the File(s) for XML submission	7
Assemble and Compress the File(s)	8
Connect to CFTC with Secure FTP	8
Transmit the File(s)	8
Data Dictionary for OCR Batch Header	9
Data Dictionary for Form 102 Cover Sheet	10
Data Dictionary for Form 102A – Identifying and reporting a special account	18
Data Dictionary for Form 102B – Identifying and reporting a volume threshold account	90
Data Dictionary for Form 102S – Identifying and reporting a consolidated account	135
Data Dictionary for Form 71 – Identification of omnibus accounts and sub-accounts	169
Data Dictionary for Form 40 – Statement of reporting trader	203
Appendix A: SFTP Account Registration	266
Appendix B: Supplemental Lists	272
Supplemental List I: List of Business Sectors and Subsectors	272
Supplemental List II: List of Commodity Group and Individual Commodities	276
Supplemental List III: List of Business Purposes of Commodity Derivatives Trading	278

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Change Log

Version	Date	Change
2	2/20/2014	ORGTYP variable removed from file name, and replaced with “OCR” for all file names, to simplify file naming process. See “Name the File(s) for XML submission”
2	2/20/2014	Additional Secure FTP instructions added. See “Connect to CFTC with Secure FTP”
2	2/20/2014	Valid values provided for the reporting market required in Form 102A, question 9. See row 82 in Form 102A schema.
2	2/20/2014	Erroneous line removed in Appendix A: SFTP Account Registration.
3	4/29/2014	Modified file naming convention to remove static “OCR” value. See “Name the File(s) for XML submission”
3	4/29/2014	Modified field length for Identifier field in file name. See “Name the File(s) for XML submission”
3	4/29/2014	Consolidated cftcBatch attributes and moved to new cftcHeader element. See rows 1-4 in “Data Dictionary for OCR Batch Header”
3	4/29/2014	Added formCount element to cftcHeader. See row 5 in “Data Dictionary for OCR Batch Header”
3	4/29/2014	Modified formNumber element to be a required element. See row 1 in “Data Dictionary for Form 102 Cover Sheet”
3	4/29/2014	Added entityType attribute to cftcForm102 element. See row 5 in “Data Dictionary for Form 102 Cover Sheet”
3	4/29/2014	Added ‘Ownership of a reportable position’ as a valid value for originReason element. See rows 2 and 5 in Form 102A schema
3	4/29/2014	Fixed erroneous XML reference in row 14 of Form 102A schema
3	4/29/2014	Moved marketIdentifier attribute to relatedAcctInfo element, to permit reporting of multiple reporting markets in connection with a single trading account. See row 82 in Form 102A schema and row 5 in 102B schema.
3	4/29/2014	Fixed erroneous references in question for reporting firms that are foreign brokers. See row 154 in Form 102A schema
3	4/29/2014	Added signature elements for each 102 form submission. See, e.g., rows 170-177 in Form 102A schema
3	4/29/2014	Added paired swap and swaption indicators for 102S submissions. See rows 81-82 in Form 102S schema
3	4/29/2014	Updated signature blocks in Form 40 schema. See rows 221-228
3	4/29/2014	Removed duplicative row in Supplemental List III in Appendix B
<u>4</u>	<u>7/1/2014</u>	<u>Added ISO 3166-2 standard as valid value for state/subdivision fields. See, e.g., row 10 in Form 102 Coversheet</u>
<u>4</u>	<u>7/1/2014</u>	<u>Added ISO 3166-1 alpha-2 standard as valid value for country fields. See, e.g., row 11 in Form 102 Coversheet</u>

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<u>4</u>	<u>7/1/2014</u>	<u>Added Middle Name and Suffix fields for Special Account Owner and Controller contact information. See rows 25-26 and 52-53 in Form 102A schema</u>
<u>4</u>	<u>7/1/2014</u>	<u>Moved Volume Threshold Account information fields on form 102B from relatedAccount element to cftcForm102 element. See, e.g., row 2 in Form 102B schema</u>
<u>4</u>	<u>7/1/2014</u>	<u>Moved Volume Threshold Account Originator, Owner and Controller relatedEntity element under cftcForm102. See, e.g., row 9 in Form 102B schema</u>
<u>4</u>	<u>7/1/2014</u>	<u>Added relatedAcctInfo element under cftcForm102 element. See row 4 in Form 102B schema</u>
<u>4</u>	<u>7/1/2014</u>	<u>Added isSpecialAccount attribute on cftcForm102 element. See row 3 in Form 102S schema</u>
<u>4</u>	<u>7/1/2014</u>	<u>Moved Consolidated Account information fields on form 102S from relatedAccount element to cftcForm102 element. See, e.g., row 3 in Form 102S schema</u>
<u>4</u>	<u>7/1/2014</u>	<u>Moved Consolidated Account Originator, Owner and Controller relatedEntity element under cftcForm102. See, e.g., row 5 in Form 102S schema</u>
<u>4</u>	<u>7/1/2014</u>	<u>Added pairedSwapOrSwaptionActivity element under cftcForm102 element. See rows 82-84 in Form 102S schema</u>

Introduction

On November 18, 2013, the Commodity Futures Trading Commission (“Commission” or “CFTC”) adopted new rules and related forms to enhance its identification of futures and swap market participants (the “OCR Final Rule”). These final rules leverage the Commission's current position and transaction reporting programs by requiring the electronic submission of trader identification and market participant data on amended Forms 102 and 40, and on new Form 71. The new and amended forms require the reporting of certain trading accounts active on reporting markets that are designated contract markets or swap execution facilities. Among other information, the forms collect ownership and control information with respect to both position-based special accounts and trading accounts that meet specified volume-based reporting levels. This Technical Document is intended to provide technical specifications for transmitting Forms 102A, 102B, 102S, 40 and 71 via FTP XML submissions. At a later date, either an additional guidance document or an updated version of this document will be provided for registration and submission procedures in connection with the web-based CFTC Portal.

OCR Final Rule

When reviewing this Technical Document, reporting parties should review and consult the OCR Final Rule, including the requirements of the reporting forms attached as an appendix thereto. Reporting parties should visit this link¹ to view the OCR Final Rule on the Federal Register; visit this link² to view a pdf copy of the OCR Final Rule.

Technical Requirements

Please forward questions regarding format, content, and transmission of OCR data submissions to the CFTC at OCRTechSupport@cftc.gov.

OCR Submission Procedure(s)

There are two methods for submission of OCR related data – 1. CFTC Secure FTP or 2. CFTC Portal Electronic Form:³

CFTC Secure FTP

1. Create the report(s) and consolidate the report(s) into an XML-formatted file.
2. Name the file(s) using the OCR Reporting file name format.
3. Assemble and compress the files.
4. Connect to the CFTC FTP site.
5. Transmit the electronically formatted records to the Commission using Secure FTP.

¹ <https://www.federalregister.gov/articles/2013/11/18/2013-26789/ownership-and-control-reports-forms-102102s-4040s-and-71>

² <http://www.cftc.gov/ucm/groups/public/@lrfederalregister/documents/file/2013-26789a.pdf>

³ See preceding Introduction for information regarding guidance on the Portal.

Name the File(s) for XML submission

File Naming Convention – Batch Submission

- The file name for submission should be created in the following manner:
OCRFORM_[FORMNUMBER]_[IDENTIFIER]_[YYYYMMDD]_[SOURCE].format

File Naming Convention - Test Files

- Data providers can test their submissions by appending the string “TEST” to the end of their file names.
OCRFORM_[FORMNUMBER]_[IDENTIFIER]_[YYYYMMDD]_[SOURCE]_TEST.f
ormat

Your firm can contact our Technical Support representative at ~~(TBD)~~
OCRTechSupport@cftc.gov to verify the results of test data you have submitted.

FORMNUMBER:

Form Number Submitted in File	FORMNUMBER in File Name
Form 102a, 102b, or 102s	102
Form 71	71
Form 40	40

For each different form number submitted send a separate XML file. For example, if you are submitting both a Form 102 and 71, they should be separate XML files. Also note for multiple submissions of the same form number they can be included in a single XML file. For example, if you are submitting multiple Form 102s, they can be in a single XML file.

IDENTIFIER:

This field is the 3 character identifier provided by the CFTC during the account registration process.

YYYYMMDD:

This field is the year (4 digits), month, and day of the report date.

SOURCE:

This field is the 1 character identifier which will be used to identify the origination of the file.

File Origination	SOURCE in Filename
Secure FTP Batch Submission	E

FORMAT:

Format of the File	FORMAT in Filename
XML	formxml

Assemble and Compress the File(s)

The files should be compressed using an industry compression tool. Possible compression utilities are WinZip or GZIP. WinZip is available at <http://www.winzip.com>, and the GZIP utility is freely available at <http://www.gzip.org>.

Connect to CFTC with Secure FTP

The CFTC uses Secure FTP (SFTP) to receive files. Reporting parties that are transmitting files to the CFTC will need to obtain a Secure FTP client that is FIPS 140-2 compliant. Through the Secure FTP client, reporters can navigate to traders.cftc.gov and use their User ID and password to login and transmit XML submission files.

Reporting parties' SFTP account is already configured to require a password. If reporters want to bypass the password requirement, they will need to generate a Key Pair and send an email to FtpSupport@cftc.gov which issues reporters' Public Key and User ID. Reporters should keep their Private Key secure and only use it to communicate with the CFTC. The CFTC can accept two types of Keys: SSH Version 2.0 RSA key pair with bit strength between 2048 - 4096 or SSH Version 2.0 DSA 1024 bit key pair.

Many OCR reporting parties may already have FTP or SFTP accounts. Reporting parties with SFTP accounts can continue to use those accounts for OCR reporting. New reporters who do not already have an SFTP account, or reporters who only use non-secure FTP accounts, must request a Secure FTP account from the CFTC. See Appendix A to this Technical Document for FTP registration steps.

Transmit the File(s)

Transfer the compressed file(s) using normal FTP commands.

Upon receipt of the file, software at the CFTC will ingest the file through our firewall and begin processing the data.

Data Dictionary for OCR Batch Header

	Data Dictionary for OCR Batch Header-Data Element	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
1.	Message Transmit Datetime	Yes	Date of OCR Batch Submission	The format is YYYY-MM-DDThh:mm:ss[+/-]hh:mm , where YYYY is the year, MM is the month, DD is the day of the month, hh is the hour of the day, mm is the minute of the hour and [+/-]hh:mm is the time zone offset.	cftcBatch/cftcHeader@sentDate
2.	Submission Contact Email	Yes	Contact email for Batch Submission		cftcBatch/cftcHeader@email
3.	Submission Sent By Identifier	Yes	This field is the 3 character identifier provided by the CFTC during the account registration process for firm		cftcBatch/cftcHeader@sentBy

	Data Dictionary for OCR Batch Header-Data Element	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			submitting batch file		
4.	On Behalf of identifier	No	CFTC-issued 3 character reporting firm identifier for firm reported in submission		cftcBatch/cftcHeader@onBehalfOf
5.	Form Count	Yes	Identifies number of form submissions included in batch		cftcBatch/cftcHeader@formCount

Data Dictionary for Form 102 Cover Sheet

	Data Dictionary for Form 102 Cover Sheet-Data Element	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
1.	Form Number	Yes		102	cftcBatch/cftcForm102@formNumber

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	Data Dictionary for Form 102 Cover Sheet-Data Element	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
2.	Reportable Account Type Indicator	Yes	Indicates the type of account for which the reporting entity is reporting.	SA = Special Account (102A) VT = Volume Threshold Account (102B) CA = Consolidated Account (102S)	cftcBatch/cftcForm102@accountCategory
3.	Follow-On Information Will be Submitted Later	Yes	Indicates certain “Follow-On Information” will be submitted by a later date specified in § 17.02 ⁴	Y = Yes N = No	cftcBatch/cftcForm102@FollowOnInformationToCome
4.	Optional Fields or Supplemental Fields Reported to LEI Provider	Yes	Indicates that one or more “Optional Fields” or “Supplemental Fields” not included in this submission were reported to the	Y = Yes N = No	cftcBatch/cftcForm102@OptionalOrSuppFieldsSeparatelyReported

⁴ For additional information on “Follow-On Information”, “Optional Fields” and “Supplemental Fields”, see the footnotes to the reporting forms in Appendix A of the OCR Final Rule.

	Data Dictionary for Form 102 Cover Sheet-Data Element	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			CICI Utility (or other CFTC-approved LEI provider) and are associated with the LEI provided in this submission		
5.	Reporting Firm Entity Type	Conditional. Required if OptionalOrSuppFieldsSeparatelyReported = 'N'	Entity type of the reporting entity	LE = Legal Entity	cftcBatch/cftcForm102@entityType
6.	Name of Reporting Firm	Conditional. Required if OptionalOrSuppFieldsSeparatelyReported = 'N'	Legal name of the reporting entity		cftcBatch/cftcForm102@legalEntityName
7.	Reporting Firm Street Address	Conditional. Required if OptionalOrSuppFieldsSeparatelyReported = 'N'	Street address of the reporting entity		cftcBatch/cftcForm102@street
8.	Reporting Firm Suite	No	Suite of the reporting entity		cftcBatch/cftcForm102@suite

	Data Dictionary for Form 102 Cover Sheet-Data Element	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
9.	Reporting Firm City	Conditional. Required if OptionalOrSuppFieldsSeparatelyReported = 'N'	City of the reporting entity		cftcBatch/cftcForm102@city
10.	Reporting Firm State	Conditional. Required if OptionalOrSuppFieldsSeparatelyReported = 'N'	State/ <u>Subdivision</u> of the reporting entity	Two-digit state code <u>ISO 3166-2 geopolitical subdivision code: 1-3 alphanumeric characters</u>	cftcBatch/cftcForm102@state
11.	Reporting Firm Country	Conditional. Required if OptionalOrSuppFieldsSeparatelyReported = 'N'	Country of the reporting entity	Two-digit ISO 3166-1 alpha-2 <u>country code</u>	cftcBatch/cftcForm102@country
12.	Reporting Firm Zip/Postal Code	Conditional. Required if OptionalOrSuppFieldsSeparatelyReported = 'N'	Zip code or postal code of the reporting entity		cftcBatch/cftcForm102@postalCode
13.	Reporting Firm Contact Natural Person Last Name	Conditional. Required if OptionalOrSuppFieldsSeparatelyReported = 'N'	Surname of the natural person who is a contact at the reporting entity		cftcBatch/cftcForm102/contact@lastName

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	Data Dictionary for Form 102 Cover Sheet-Data Element	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
14.	Reporting Firm Contact Natural Person First Name	Conditional. Required if OptionalOrSuppFieldsSeparatelyReported = 'N'	Given or first in order name of the natural person who is a contact at the reporting entity		cftcBatch/cftcForm102/contact@firstName
15.	Reporting Firm Contact Middle Name	No	Middle name of the natural person who is a contact at the reporting entity		cftcBatch/cftcForm102/contact@middleName
16.	Reporting Firm Contact Suffix	No	Suffix of the natural person who is a contact at the reporting entity		cftcBatch/cftcForm102/contact@nameSuffix
17.	Reporting Firm Contact Job Title	Conditional. Required if OptionalOrSuppFieldsSeparatelyReported = 'N'	Job title of the contact at the reporting entity		cftcBatch/cftcForm102/contact@titleOrPosition
18.	Reporting Firm Contact Phone Number	Conditional. Required if OptionalOrSuppFieldsSeparatelyReported = 'N'	Telephone number of the contact at the reporting entity		cftcBatch/cftcForm102/contact@telephone

	Data Dictionary for Form 102 Cover Sheet-Data Element	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
19.	Reporting Firm Contact Email Address	Conditional. Required if OptionalOrSuppFieldsSeparatelyReported = 'N'	Email address of the contact at the reporting entity		cftcBatch/cftcForm102/contact@email
20.	Reporting Firm Website	Conditional. Required if information available AND OptionalOrSuppFieldsSeparatelyReported = 'N'	URL of the reporting entity's website		cftcBatch/cftcForm102@website
21.	Reporting Firm NFA ID	Conditional. Required if information available AND OptionalOrSuppFieldsSeparatelyReported = 'N'	The identification number given to the reporting entity by the National Futures Association		cftcBatch/cftcForm102@NFAIdentifier
22.	Reporting Firm Legal Entity Identifier	Conditional. Required if OptionalOrSuppFieldsSeparatelyReported = 'Y'	The legal entity identifier (LEI) assigned to the reporting firm by the LEI issuer		cftcBatch/cftcForm102@legalEntityIdentifier

	Data Dictionary for Form 102 Cover Sheet- Data Element	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
23.	Reporting Firm Type – futures commission merchant	Conditional. Required if OptionalOrSuppFieldsSeparatelyReported = 'N'	Indicates the type of reporting entity ⁵	Y = Yes N = No	cftcBatch/cftcForm102@isFCM
24.	Reporting Firm Type – clearing member	Conditional. Required if OptionalOrSuppFieldsSeparatelyReported = 'N'	Indicates the type of reporting entity	Y = Yes N = No	cftcBatch/cftcForm102@isCM
25.	Reporting Firm Type – Foreign Broker	Conditional. Required if OptionalOrSuppFieldsSeparatelyReported = 'N'	Indicates the type of reporting entity	Y = Yes N = No	cftcBatch/cftcForm102@isFB
26.	Reporting Firm Type – Swap Dealer	Conditional. Required if OptionalOrSuppFieldsSeparatelyReported = 'N'	Indicates the type of reporting entity	Y = Yes N = No	cftcBatch/cftcForm102@isSwapDealer

⁵ If a reporting party is submitting a 102A and reporting a special account that is active on multiple markets, the party should check multiple firm types in rows 23-26, if it acts in different capacities on these markets (for example, if the reporting party acts as an FCM on one of the markets, and acts as a clearing member on another of the markets).

	Data Dictionary for Form 102 Cover Sheet-Data Element	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
27.	Reporting Firm Type – Other	Conditional. Required if OptionalOrSuppFieldsSeparatelyReported = 'N'	Indicates the type of reporting entity	Y = Yes N = No	cftcBatch/cftcForm102@isOther
28.	Other Reporting Firm Type	Conditional. Required if isOther = 'Y'	Entity type of the reporting entity if isOther Indicator was selected		cftcBatch/cftcForm102@otherDescription
29.	Reporting Firm ID	Conditional. Required if OptionalOrSuppFieldsSeparatelyReported = 'N'	The alpha-numeric identifier assigned by the Commission to the reporting entity		cftcBatch/cftcForm102@reportingIdentifier

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Data Dictionary for Form 102A – Identifying and reporting a special account⁶

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
1.	New/Modified Indicator	Question 1	Yes	<p>Indicates whether the special account (102A) is:</p> <ul style="list-style-type: none"> • Special account being reported for the first time • Re-submitted or modified Information for a previously reported 	N = New M = Modified	cftcBatch/cftcForm102@informationType

⁶ When reviewing the data elements in this Technical Document, reporting parties should also review and consult the OCR Final Rule, including the requirements of the reporting forms attached as an appendix thereto. The reporting forms are the basis for these data elements. Reporting parties should visit this link to view the OCR Final Rule on the Federal Register: <https://www.federalregister.gov/articles/2013/11/18/2013-26789/ownership-and-control-reports-forms-102102s-4040s-and-71>
 Visit this link to view a pdf copy of the OCR Final Rule: <http://www.cftc.gov/ucm/groups/public/@Irfederalregister/documents/file/2013-26789a.pdf>

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				special account		
2.	Special Account Origination	Question 2	Yes	Indicates for which of the following reasons the account is being reported	OO = Ownership of a reportable position ⁷ CC = Control of a reportable position OC = Ownership and control of a reportable position OM = Omnibus account with a reportable position	cftcBatch/cftcForm102@originReason
3.	Special Account Number	Question 3	Yes	Numeric identifier used by the reporting entity to uniquely identify a special account		cftcBatch/cftcForm102@accountNumber

⁷ 'Ownership of a reportable position' has been added to make the schema conform to the choices in question 2 of Form 102A, which is included as an appendix to the OCR Final Rule. As noted in question 2 of Form 102A, however, reporting parties are not required to submit Form 102A based solely on ownership of a reportable position at this time.

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
4.	Special Account Name	Question 3	Yes	The name of the special account assigned by the reporting firm		cftcBatch/cftcForm102@accountName
5.	House or Customer Indicator	Question 4	Conditional. Required if originReason='O'	If the reported special account is being reported based on ownership of a reportable position, indicates whether the special account is a house or customer account of the reporting firm ⁸	H = House C = Customer	cftcBatch/cftcForm102@accountClass
6.	Omnibus Account	Question 5	Conditional, if originReason='O M' then 'Y' else 'N'	Indicates if the reported special account is an omnibus account	Y = Yes N = No	cftcBatch/cftcForm102@isOmnibus
7.	Omnibus Account	Question 5	Conditional. Required if	If the reported special account is	H = House C = Customer	cftcBatch/cftcForm102@accountClass

⁸ See preceding footnote.

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Information		originReason='O M'	an omnibus account, indicate whether the account is a house or customer omnibus account		
SPECIAL ACCOUNT OWNER(S) CONTACT INFORMATION						
8.	Special Account Owner Indicator	Question 6	Conditional, if originReason='O C' then isOwner = 'Y'	Indicates reporting special account owner	Y = Yes N = No	cftcBatch/cftcForm102/relatedEntity@isOwner
9.	Special Account Owner Type Indicator	Question 6	Conditional. Required if originReason='O C'	Indicates whether the special account owner is a legal entity or natural person	LE = Legal Entity NP = Natural Person	cftcBatch/cftcForm102/relatedEntity@entityType
10.	Special Account Owner Optional Fields or Supplemental Fields Reported to	Question 6	Conditional. Required if originReason='O C'	Indicates that one or more "Optional Fields" or "Supplemental Fields" not included in this question were reported to the	Y = Yes N = No	cftcBatch/cftcForm102/relatedEntity@OptionalOrSuppFieldsSeparatelyReported

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	LEI Provider			CICI Utility (or other CFTC-approved LEI provider) and are associated with the LEI provided in this submission		
IF SPECIAL ACCOUNT OWNER IS A LEGAL ENTITY						
11.	Special Account Owner Legal Entity Name	Question 6	Conditional. Required if originReason='O C' AND OptionalOrSuppFieldsSeparatelyReported='N' AND entityType='LE'	Legal or registered name of the reportable account owner		cftcBatch/cftcForm102/relatedEntity@legalEntityName
IF SPECIAL ACCOUNT OWNER IS A NATURAL PERSON						
12.	Special Account Owner Natural Person Last Name	Question 6	Conditional. Required if originReason='O C' AND OptionalOrSuppFieldsSeparatelyReported='N'	Surname of the natural person reportable account owner		cftcBatch/cftcForm102/relatedEntity@lastName

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			And entityType='NP'			
13.	Special Account Owner Natural Person First Name	Question 6	Conditional. Required if originReason='OC' AND OptionalOrSuppFieldsSeparatelyReported='N' AND entityType='NP'	Given or first in order name of the natural person reportable account owner		cftcBatch/cftcForm102/relatedEntity@firstName
14.	Special Account Owner Natural Person Middle Name	Question 6	Conditional. Required if information is available AND originReason='OC' AND OptionalOrSuppFieldsSeparatelyReported='N' AND entityType='NP'	Middle name of the natural person reportable account owner		cftcBatch/cftcForm102/relatedEntity@middleName
15.	Special Account Owner Natural Person Suffix	Question 6	Conditional. Required if information is available AND originReason='O	Suffix of the natural person reportable account owner		cftcBatch/cftcForm102/relatedEntity@nameSuffix

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			C' AND OptionalOrSuppFieldsSeparatelyReported = 'N' AND entityType = 'NP'			
FOR BOTH LEGAL ENTITIES AND NATURAL PERSONS						
16.	Special Account Owner Street Address	Question 6	Conditional. Required if originReason = 'O' C' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Street address of the reportable account owner		cftcBatch/cftcForm102/relatedEntity@street
<u>17.</u>	<u>Special Account Owner Suite</u>	<u>Question 6</u>	<u>Conditional. Required if information available AND originReason = 'OC' AND OptionalOrSuppFieldsSeparatelyReported = 'N'</u>	<u>Suite of the reportable account owner</u>		<u>cftcBatch/cftcForm102/relatedEntity@suite</u>
17,18	Special Account Owner City	Question 6	Conditional. Required if originReason = 'O'	City of the reportable account owner		cftcBatch/cftcForm102/relatedEntity@city

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			C' AND OptionalOrSuppFieldsSeparatelyReported = 'N'			
18,19	Special Account Owner State	Question 6	Conditional. Required if originReason='O C' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	State of the reportable account owner <u>ISO 3166-2 geopolitical subdivision code; 1-3 alphanumeric characters</u>		cftcBatch/cftcForm102/relatedEntity@state
19,20	Special Account Owner Country	Question 6	Conditional. Required if originReason='O C' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Country of the reportable account owner <u>ISO 3166-1 alpha-2 country code</u>		cftcBatch/cftcForm102/relatedEntity@country
20,21	Special Account Owner Zip/Postal Code	Question 6	Conditional. Required if originReason='O C' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Zip/Postal code of the reportable account owner		cftcBatch/cftcForm102/relatedEntity@postalCode

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
21-22	Special Account Owner Phone Number	Question 6	Conditional. Required if originReason='OC' AND OptionalOrSuppFieldsSeparatelyReported='N'	Phone Number of the reportable account owner		cftcBatch/cftcForm102/relatedEntity@telephone
22-23	Special Account Owner Email Address	Question 6	Conditional. Required if originReason='OC' AND OptionalOrSuppFieldsSeparatelyReported='N'	Email address of the reportable account owner		cftcBatch/cftcForm102/relatedEntity@email
IF SPECIAL ACCOUNT OWNER IS A LEGAL ENTITY						
23-24	Special Account Owner Contact Last Name	Question 6	Conditional. Required if originReason='OC' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported='N'	Surname of the contact person for the owner		cftcBatch/cftcForm102/relatedEntity/contact@lastName

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
24,25	Special Account Owner Contact First Name	Question 6	Conditional. Required if originReason='O C' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported='N'	First name of the contact person for the owner		cftcBatch/cftcForm102/relatedEntity/contact@firstName
<u>26.</u>	<u>Special Account Owner Contact Middle Name</u>	<u>Question 6</u>	<u>Conditional. Required if information is available AND originReason='O C' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported='N'</u>	<u>Middle name of the contact person for the owner</u>		<u>cftcBatch/cftcForm102/relatedEntity/contact@middleName</u>
<u>27.</u>	<u>Special Account Owner Contact</u>	<u>Question 6</u>	<u>Conditional. Required if information is available AND</u>	<u>Suffix of the contact person for the owner</u>		<u>cftcBatch/cftcForm102/relatedEntity/contact@nameSuffix</u>

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	<u>Name Suffix</u>		<u>originReason='O C' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported = 'N'</u>			
25,28	Special Account Owner Contact Job Title	Question 6	Conditional. Required if originReason='O C' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Job title of the contact person for the owner		cftcBatch/cftcForm102/relatedEntity/contact@titleOrPosition
26,29	Contact Relationship to Special Account Owner	Question 6	Conditional. Required if originReason='O C' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Contact relationship to the owner		cftcBatch/cftcForm102/relatedEntity/contact@relationship

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
27.30	Special Account Owner Contact Phone Number	Question 6	Conditional. Required if originReason='OC' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported='N'	Phone number of the contact person for the owner		cftcBatch/cftcForm102/relatedEntity/contact@telephone
28.31	Special Account Owner Contact Email Address	Question 6	Conditional. Required if originReason='OC' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported='N'	Email address of the contact person for the owner		cftcBatch/cftcForm102/relatedEntity/contact@email
FOR BOTH LEGAL ENTITIES AND NATURAL PERSONS						
29.32	Special Account Owner Website	Question 6	Conditional. Required if information available AND originReason='OC' AND OptionalOrSuppF	URL of the owner's website		cftcBatch/cftcForm102/relatedEntity@website

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			ieldsSeparatelyReported = 'N'			
30,33	Special Account Owner NFA ID	Question 6	Conditional. Required if information available AND originReason='O C' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	The identification number given to the ownership entity by the National Futures Association		cftcBatch/cftcForm102/relatedEntity@NFAIdentifier
31,34	Special Account Owner Legal Entity Identifier (LEI)	Question 6	Conditional. Required if information available AND originReason='O C' AND OptionalOrSuppFieldsSeparatelyReported = 'Y'	The legal entity identifier (LEI) assigned to the ownership entity by the LEI issuer		cftcBatch/cftcForm102/relatedEntity@legalEntityIdentifier

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
SPECIAL ACCOUNT CONTROLLER(S) CONTACT INFORMATION⁹						
32-35	Special Account Controller Indicator	Question 7	Conditional. Required if originReason = 'OC' OR originReason = 'CC' then isController = 'Y'	Indicates reporting special account controller	Y = Yes N = No	cftcBatch/cftcForm102/relatedEntity@isController
33-36	Special Account Controller Type Indicator	Question 7	Conditional. Required if originReason = 'OC' OR originReason = 'CC'	Indicates whether the special account Controller is a legal entity or natural person	LE = Legal Entity NP = Natural Person	cftcBatch/cftcForm102/relatedEntity@entityType
34-37	Special Account Controller	Question 7	Conditional. Required if originReason =	Indicates that one or more "Optional Fields"	Y = Yes N = No	cftcBatch/cftcForm102/relatedEntity@OptionalOrSuppFieldsSeparatelyReported

⁹ [Reporting parties should provide only one value in each field for question 7 on Form 102A, which asks for the special account controller contact information. Reporting parties should not report multiple controllers in response to question 7, because the OCR Final Rule requires 102 reporting on the basis of control of a reportable position. See part 150.4 of the Commission's regulations for rules regarding the aggregation of positions based on control. Parties aggregating on the basis of control should report only a single controller in response to question 7. See OCR Final Rule pp. 69183-4.](#)

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Optional Fields or Supplemental Fields Reported to LEI Provider		'OC' OR originReason = 'CC'	or "Supplemental Fields" not included in this question were reported to the CICI Utility (or other CFTC-approved LEI provider) and are associated with the LEI provided in this submission		
IF SPECIAL ACCOUNT CONTROLLER IS A LEGAL ENTITY						
35 <u>38</u>	Special Account Controller Legal Entity Name	Question 7	Conditional. Required if originReason = 'OC' OR originReason = 'CC' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Legal or registered name of the reportable account Controller		cftcBatch/cftcForm102/relatedEntity@legalEntityName

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
IF SPECIAL ACCOUNT CONTROLLER IS A NATURAL PERSON						
36-39	Special Account Controller Natural Person Last Name	Question 7	Conditional. Required if originReason = 'OC' OR originReason = 'CC' AND entityType='NP' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Surname of the natural person reportable account Controller (if natural person)		cftcBatch/cftcForm102/relatedEntity@lastName
37-40	Special Account Controller Natural Person First Name	Question 7	Conditional. Required if originReason = 'OC' OR originReason = 'CC' AND entityType='NP' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Given or first in order name of the natural person reportable account Controller		cftcBatch/cftcForm102/relatedEntity@firstName

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
38.41	Special Account Controller Natural Person Middle Name	Question 7	Conditional. Required if information available AND originReason = 'OC' OR originReason = 'CC' AND entityType='NP' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Middle name of the natural person reportable account Controller		cftcBatch/cftcForm102/relatedEntity@middleName
39.42	Special Account Controller Natural Person Suffix	Question 7	Conditional. Required if information available AND originReason = 'OC' OR originReason = 'CC' AND entityType='NP' AND OptionalOrSuppFieldsSeparatelyRe	Suffix of the natural person reportable account Controller		cftcBatch/cftcForm102/relatedEntity@nameSuffix

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			ported = 'N'			
FOR BOTH LEGAL ENTITIES AND NATURAL PERSONS						
40.43	Special Account Controller Street Address	Question 7	Conditional. Required if originReason = 'OC' OR originReason = 'CC' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Street address of the reportable account Controller		cftcBatch/cftcForm102/relatedEntity@street
41.44	Special Account Controller Suite	Question 7	Conditional. Required if information available AND originReason = 'OC' OR originReason = 'CC' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Suite of the reportable account Controller		cftcBatch/cftcForm102/relatedEntity@suite

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
42.45	Special Account Controller City	Question 7	Conditional. Required if originReason = 'OC' OR originReason = 'CC' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	City of the reportable account Controller		cftcBatch/cftcForm102/relatedEntity@city
43.46	Special Account Controller State	Question 7	Conditional. Required if originReason = 'OC' OR originReason = 'CC' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	State of the reportable account Controller ISO 3166-2 geopolitical subdivision code; 1-3 alphanumeric characters		cftcBatch/cftcForm102/relatedEntity@state
44.47	Special Account Controller Country	Question 7	Conditional. Required if originReason = 'OC' OR originReason = 'CC' AND	Country of the reportable account Controller ISO 3166-1 alpha-2 country code		cftcBatch/cftcForm102/relatedEntity@country

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			OptionalOrSuppFieldsSeparatelyReported = 'N'			
45.48	Special Account Controller Zip/Postal Code	Question 7	Conditional. Required if originReason = 'OC' OR originReason = 'CC' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Zip/Postal code of the reportable account Controller		cftcBatch/cftcForm102/relatedEntity@postalCode
46.49	Special Account Controller Phone Number	Question 7	Conditional. Required if originReason = 'OC' OR originReason = 'CC' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Phone Number of the reportable account Controller		cftcBatch/cftcForm102/relatedEntity@telephone
47.50	Special Account Controller Email Address	Question 7	Conditional. Required if originReason = 'OC' OR originReason =	Email address of the reportable account Controller		cftcBatch/cftcForm102/relatedEntity@email

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			'CC' AND OptionalOrSuppFieldsSeparatelyReported = 'N'			
IF SPECIAL ACCOUNT CONTROLLER IS A LEGAL ENTITY						
48-51	Special Account Controller Contact Last Name	Question 7	Conditional. Required if originReason = 'OC' OR originReason = 'CC' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Surname of the natural person contact for the Controller		cftcBatch/cftcForm102/relatedEntity/contact@lastName
49-52	Special Account Controller Contact First Name	Question 7	Conditional. Required if originReason = 'OC' OR originReason = 'CC' AND	First name of the natural person contact for the Controller		cftcBatch/cftcForm102/relatedEntity/contact@firstName

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			entityType=' LE' AND OptionalOrSuppFieldsSeparatelyReported = 'N'			
<u>53.</u>	<u>Special Account Controller Contact Middle Name</u>	<u>Question 7</u>	<u>Conditional. Required if information is available AND originReason='OC' OR originReason = 'CC' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported = 'N'</u>	<u>Middle name of the contact person for the Controller</u>		<u>cftcBatch/cftcForm102/relatedEntity/contact@middleName</u>
<u>54.</u>	<u>Special Account Controller Contact Name Suffix</u>	<u>Question 7</u>	<u>Conditional. Required if information is available AND originReason='OC' OR originReason = 'CC' AND entityType='LE' AND</u>	<u>Suffix of the contact person for the Controller</u>		<u>cftcBatch/cftcForm102/relatedEntity/contact@nameSuffix</u>

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			<u>OptionalOrSuppFieldsSeparatelyReported = 'N'</u>			
50.55	Special Account Controller Contact Job Title	Question 7	Conditional. Required if originReason = 'OC' OR originReason = 'CC' AND entityType=' LE' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Job title of the contact person for Controller entity		cftcBatch/cftcForm102/relatedEntity/contact@titleOrPosition
51.56	Contact Relationship to Special Account Controller	Question 7	Conditional. Required if originReason = 'OC' OR originReason = 'CC' AND entityType=' LE' AND OptionalOrSuppFieldsSeparatelyRe	Contact relationship to the controller		cftcBatch/cftcForm102/relatedEntity/contact@relationship

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			ported = 'N'			
52-57	Special Account Controller Contact Phone Number	Question 7	Conditional. Required if originReason = 'OC' OR originReason = 'CC' AND entityType=' LE' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Phone number of the contact person for the Controller entity		cftcBatch/cftcForm102/relatedEntity/contact@telephone
53-58	Special Account Controller Contact Email Address	Question 7	Conditional. Required if originReason = 'OC' OR originReason = 'CC' AND entityType=' LE' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Email address of the contact person for the Controller entity		cftcBatch/cftcForm102/relatedEntity/contact@email

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
54.59	Special Account Controller Website	Question 7	Conditional. Required if information available AND originReason = 'OC' OR originReason = 'CC' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	URL of the Controller's website		cftcBatch/cftcForm102/relatedEntity@website
55.60	Special Account Controller NFA ID	Question 7	Conditional. Required if information available AND originReason = 'OC' OR originReason = 'CC' AND OptionalOrSuppFieldsSeparatelyReported='N'	The identification number given to the Controller entity by the National Futures Association		cftcBatch/cftcForm102/relatedEntity@NFAIdentifier
56.61	Special Account Controller Legal Entity	Question 7	Conditional. Required if information available AND	The legal entity identifier (LEI) assigned to the Controller entity		cftcBatch/cftcForm102/relatedEntity@legalEntityIdentifier

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Identifier (LEI)		originReason = 'OC' OR originReason = 'CC' AND OptionalOrSuppFieldsSeparatelyReported = 'Y'	by the LEI issuer		
OMNIBUS ACCOUNT ORIGINATOR CONTACT INFORMATION						
57-62	Omnibus Account Originator Indicator	Question 8	Conditional. Required if originReason = 'OM' Then isOriginator='Y'	Indicates reporting special account orginator	Y = Yes N = No	cftcBatch/cftcForm102/relatedEntity@isOriginator
58-63	Omnibus Account Originator Optional Fields or Supplemental Fields Reported to LEI Provider	Question 8	Conditional. Required if originReason='OM'	Indicates that one or more "Optional Fields" or "Supplemental Fields" not included in this question were reported to the CICI Utility (or other CFTC-approved LEI provider) and are associated with	Y = Yes N = No	cftcBatch/cftcForm102/relatedEntity@OptionalOrSuppFieldsSeparatelyReported

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				the LEI provided in this submission		
59-64	Omnibus Account Originator Entity Type	Question 8	Yes, entityType='LE'		LE = Legal Entity	cftcBatch/cftcForm102/relatedEntity@entityType
60-65	Omnibus Account Originator Name	Question 8	Conditional. Required if originReason='OM' AND OptionalOrSuppFieldsSeparatelyReported='N' AND entityType='LE'	Legal name of the reportable account Originator		cftcBatch/cftcForm102/relatedEntity@legalEntityName
61-66	Omnibus Account Originator Street Address	Question 8	Conditional. Required if originReason='OM' AND OptionalOrSuppFieldsSeparatelyReported='N'	Street address of the reportable account Originator		cftcBatch/cftcForm102/relatedEntity@street
62-67	Omnibus Account Originator Suite	Question 8	Conditional. Required if information available AND originReason='O	Suite of the reportable account Originator		cftcBatch/cftcForm102/relatedEntity@suite

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			M' AND OptionalOrSuppFieldsSeparatelyReported='N'			
63-68	Omnibus Account Originator City	Question 8	Conditional. Required if originReason='O M' AND OptionalOrSuppFieldsSeparatelyReported='N'	City of the reportable account Originator		cftcBatch/cftcForm102/relatedEntity@city
64-69	Omnibus Account Originator State	Question 8	Conditional. Required if originReason='O M' AND OptionalOrSuppFieldsSeparatelyReported='N'	State of the reportable account Originator <u>ISO 3166-2 geopolitical subdivision code: 1-3 alphanumeric characters</u>		cftcBatch/cftcForm102/relatedEntity@state
65-70	Omnibus Account Originator Country	Question 8	Conditional. Required if originReason='O M' AND OptionalOrSuppFieldsSeparatelyReported='N'	Country of the reportable account Originator <u>ISO 3166-1 alpha-2 country code</u>		cftcBatch/cftcForm102/relatedEntity@country

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
66-71	Omnibus Account Originator Zip/Postal Code	Question 8	Conditional. Required if originReason='O M' AND OptionalOrSuppFieldsSeparatelyReported='N'	Zip/Postal code of the reportable account Originator		cftcBatch/cftcForm102/relatedEntity@postalCode
67-72	Omnibus Account Originator Phone Number	Question 8	Conditional. Required if originReason='O M' AND OptionalOrSuppFieldsSeparatelyReported='N'	Phone Number of the reportable account Originator		cftcBatch/cftcForm102/relatedEntity@telephone
68-73	Omnibus Account Originator Contact Last Name	Question 8	Conditional. Required if originReason='O M' AND OptionalOrSuppFieldsSeparatelyReported='N'	Surname of the natural person contact for the Originator		cftcBatch/cftcForm102/relatedEntity/contact@lastName
69-74	Omnibus Account Originator Contact First Name	Question 8	Conditional. Required if originReason='O M' AND OptionalOrSuppFieldsSeparatelyReported='N'	First name of the natural person contact for the Originator		cftcBatch/cftcForm102/relatedEntity/contact@firstName

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
70 <u>75</u>	Omnibus Account Originator Contact Middle Name	Question 8	Conditional. Required if originReason='O M' AND OptionalOrSuppFieldsSeparatelyReported='N'	Middle name of the natural person contact for the Originator		cftcBatch/cftcForm102/relatedEntity/contact@middleName
71 <u>76</u>	Omnibus Account Originator Contact Suffix	Question 8	Conditional. Required if originReason='O M' AND OptionalOrSuppFieldsSeparatelyReported='N'	Suffix of the natural person contact for the Originator		cftcBatch/cftcForm102/relatedEntity/contact@nameSuffix
72 <u>77</u>	Omnibus Account Originator Contact Job Title	Question 8	Conditional. Required if originReason='O M' AND OptionalOrSuppFieldsSeparatelyReported='N'	Job title of the contact person at or related to the Originator entity		cftcBatch/cftcForm102/relatedEntity/contact@titleOrPosition
73 <u>78</u>	Contact Relationship to Omnibus Account Originator	Question 8	Conditional. Required if originReason='O M' AND OptionalOrSuppFieldsSeparatelyReported='N'	Contact relationship to the Originator entity		cftcBatch/cftcForm102/relatedEntity/contact@relationship

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
74 <u>79</u>	Omnibus Account Originator Contact Phone Number	Question 8	Conditional. Required if originReason='O M' AND OptionalOrSuppFieldsSeparatelyReported='N'	Phone number of the contact person for the Originator entity		cftcBatch/cftcForm102/relatedEntity/contact@telephone
75 <u>80</u>	Omnibus Account Originator Contact Email Address	Question 8	Conditional. Required if originReason='O M' AND OptionalOrSuppFieldsSeparatelyReported='N'	Email address of the contact person for the Originator entity		cftcBatch/cftcForm102/relatedEntity/contact@email
76 <u>81</u>	Omnibus Account Originator Website	Question 8	Conditional. Required if information available AND originReason='O M' AND OptionalOrSuppFieldsSeparatelyReported='N'	URL of the Originator's website		cftcBatch/cftcForm102/relatedEntity@website
77 <u>82</u>	Special Account Originator NFA ID	Question 8	Conditional. Required if information available AND originReason='O	The identification number given to the Originator entity by the National Futures		cftcBatch/cftcForm102/relatedEntity@NFAIdentifier

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			M' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Association		
78.83	Omnibus Account Originator Legal Entity Identifier (LEI)	Question 8	Conditional. Required if information available AND originReason='O M' AND OptionalOrSuppFieldsSeparatelyReported = 'Y'	The legal entity identifier (LEI) assigned to the Originator entity by the LEI issuer		cftcBatch/cftcForm102/relatedEntity@legalEntityIdentifier
IDENTIFICATION OF TRADING ACCOUNT(S) THAT COMPRISE THE SPECIAL ACCOUNT¹⁰						
79.84	Special Account Trading Account	Question 9	Yes, isTradingAccount = 'Y'		Y = Yes N = No	cftcBatch/cftcForm102/relatedAccount@isTradingAccount

¹⁰ Page 69184 of the OCR final rule contains a discussion of how to identify the trading account numbers that comprise a special account and, by extension, identify the reporting market at which each trading account number appears. This discussion states that, "Trading accounts that comprise a position-based special account include all of those trading accounts that: (1) are used to execute trades cleared by the clearing member submitting the 102A; (2) are owned or controlled by the entity identified as owning or controlling the special account reported on a 102A; and (3) execute transactions in the same commodity or commodities in which the special account has a reportable position."

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Indicator					
80-85	Special Account Trading Account Number	Question 9	Conditional. Required if isTradingAccount = 'Y'	For each special account reported by an entity acting as a <i>clearing member</i> , provide the trading account number		cftcBatch/cftcForm102/relatedAccount@accountNumber
81-86	Short Code	Question 9	Conditional. Required if isTradingAccount = 'Y'	For each special account reported by an entity acting as a <i>clearing member</i> , provide the related short code		cftcBatch/cftcForm102/relatedAccount/relatedAcctInfo@accountShortCode
82-87	Reporting Market ¹¹	Question 9	Conditional. Required if isTradingAccount = 'Y'	Identify the reporting market at which each trading account number appears	ISO Market Identifier Code (MIC) located at: http://www.iso15022.org/MIC/homepageMIC.htm ¹²	cftcBatch/cftcForm102/relatedAccount/relatedAcctInfo@marketIdentifier

¹¹ See preceding footnote.

¹² See the CFTC website at <http://www.cftc.gov/IndustryOversight/TradingOrganizations/index.htm> for a list of trading organizations regulated by the CFTC.

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
TRADING ACCOUNT OWNERSHIP AND CONTROL INFORMATION						
OMNIBUS ACCOUNT INFORMATION						
83 88	Trading Account Omnibus Account Indicator	Question 10i	Conditional. Required if isTradingAccount = 'Y'	For each trading account identified in question 9, is such account an omnibus account	Y = Yes N = No	cftcBatch/cftcForm102/relatedAccount@isOmnibus
84 89	House or Customer Indicator	Question 10i	Conditional. Required if isTradingAccount = 'Y' AND isOmnibus = 'Y'	If the reportable Trading Account is being reported as an Omnibus Account indicate whether the Trading Account Omnibus Account is a house or customer account of the reporting firm	H = House C = Customer	cftcBatch/cftcForm102/relatedAccount@accountClass

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
85-90	Trading Account Omnibus Account Originator Indicator	Question 10i	Conditional, if isTradingAccount = 'Y' AND isOmnibus = 'Y' THEN isOriginator = 'Y'	Indicates reportable Trading Account Omnibus Account originator	Y = Yes N = No	cftcBatch/cftcForm102/relatedAccount/relatedEntity@isOriginator
86-91	Trading Account Omnibus Account Optional Fields or Supplemental Fields Reported to LEI Provider	Question 10i	Conditional, if isTradingAccount = 'Y' AND isOmnibus = 'Y'	Indicates that one or more "Optional Fields" or "Supplemental Fields" not included in this question were reported to the CICI Utility (or other CFTC-approved LEI provider) and are associated with the LEI provided in this submission	Y = Yes N = No	cftcBatch/cftcForm102/relatedAccount/relatedEntity@OptionalOrSuppFieldsSeparatelyReported
87-92	Trading Account Omnibus Account	Question 10i	Yes, entityType = 'LE'		LE=Legal Entity	cftcBatch/cftcForm102/relatedAccount/relatedEntity@entityType

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Entity Type					
88-93	Trading Account Omnibus Account Originator Name	Question 10i	Conditional. Required if isTradingAccount = 'Y' AND isOmnibus = 'Y' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Name of omnibus trading account originator		cftcBatch/cftcForm102/relatedAccount/relatedEntity@legalEntityName
89-94	Trading Account Omnibus Account Originator Street Address	Question 10i	Conditional. Required if isTradingAccount = 'Y' AND isOmnibus = 'Y' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Street address of omnibus trading account Originator		cftcBatch/cftcForm102/relatedAccount/relatedEntity@street
90-95	Trading Account Omnibus Account Originator	Question 10i	Conditional. Required if information available AND isTradingAccount	Suite of omnibus trading account Originator		cftcBatch/cftcForm102/relatedAccount/relatedEntity@suite

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Suite		= 'Y' AND isOmnibus = 'Y' AND OptionalOrSuppFieldsSeparatelyReported = 'N'			
91-96	Trading Account Omnibus Account Originator City	Question 10i	Conditional. Required if isTradingAccount = 'Y' AND isOmnibus = 'Y' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	City of the omnibus trading account Originator		cftcBatch/cftcForm102/relatedAccount/relatedEntity@city
92-97	Trading Account Omnibus Account Originator State	Question 10i	Conditional. Required if isTradingAccount = 'Y' AND isOmnibus = 'Y' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	State of the omnibus trading account Originator <u>ISO 3166-2 geopolitical subdivision code: 1-3 alphanumeric characters</u>		cftcBatch/cftcForm102/relatedAccount/relatedEntity@state

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
93 <u>98</u>	Trading Account Omnibus Account Originator Country	Question 10i	Conditional. Required if isTradingAccount = 'Y' AND isOmnibus = 'Y' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Country of the omnibus trading account <u>Originator ISO 3166-1 alpha-2 country code</u>		cftcBatch/cftcForm102/relatedAccount/relatedEntity@country
94 <u>99</u>	Trading Account Omnibus Account Originator Zip/Postal Code	Question 10i	Conditional. Required if isTradingAccount = 'Y' AND isOmnibus = 'Y' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Zip/Postal code of the omnibus trading account Originator		cftcBatch/cftcForm102/relatedAccount/relatedEntity@postalCode
95 <u>10</u>	Trading Account Omnibus Account Originator Phone Number	Question 10i	Conditional. Required if isTradingAccount = 'Y' AND isOmnibus = 'Y' AND OptionalOrSuppFieldsSeparatelyRe	Phone Number of the omnibus trading account Originator		cftcBatch/cftcForm102/relatedAccount/relatedEntity@telephone

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			ported = 'N'			
<u>96.10</u>	Trading Account Omnibus Account Originator Contact Last Name	Question 10i	Conditional. Required if isTradingAccount='Y' AND isOmnibus='Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Surname of the contact for the Originator		cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact@lastName
<u>97.10</u>	Trading Account Omnibus Account Originator Contact First Name	Question 10i	Conditional. Required if isTradingAccount='Y' AND isOmnibus='Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	First name of the contact for the Originator		cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact@firstName

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
98-10	Trading Account Omnibus Account Contact Middle Name	Question 10i	Conditional. Required if information available AND isTradingAccount = 'Y' AND isOmnibus = 'Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Middle name of the contact for the Originator		cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact@middleName
99-10	Trading Account Omnibus Account Contact Suffix	Question 10i	Conditional. Required if information available AND isTradingAccount = 'Y' AND isOmnibus = 'Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Suffix of the contact for the Originator		cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact@nameSuffix

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
100.1	Trading Account Omnibus Account Originator Contact Job Title	Question 10i	Conditional. Required if isTradingAccount = 'Y' AND isOmnibus = 'Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Job title of the contact person for Originator entity		cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact@titleOrPosition
101.1	Contact Relationship to Trading Account Omnibus Account Originator	Question 10i	Conditional. Required if isTradingAccount = 'Y' AND isOmnibus = 'Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Contact relationship to the Originator entity		cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact@relationship
102.1	Trading Account Omnibus Account	Question 10i	Conditional. Required if isTradingAccount = 'Y'	Phone number of the contact person for the Originator entity		cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact@telephone

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Originator Contact Phone Number		AND isOmnibus = 'Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported = 'N'			
103.1	Trading Account Omnibus Account Originator Contact Email Address	Question 10i	Conditional. Required if isTradingAccount = 'Y' AND isOmnibus = 'Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Email address of the contact person for the Originator entity		cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact@email
104.1	Trading Account Omnibus Account Originator Website	Question 10i	Conditional. Required if information available AND isTradingAccount = 'Y' AND isOmnibus	URL of the Originator's website		cftcBatch/cftcForm102/relatedAccount/relatedEntity@website

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			= 'Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported = 'N'			
105.1	Trading Account Omnibus Account Originator NFA ID	Question 10i	Conditional. Required if information available AND isTradingAccount = 'Y' AND isOmnibus = 'Y' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	The identification number given to the Originator entity by the National Futures Association		cftcBatch/cftcForm102/relatedAccount/relatedEntity@NFAIdentifier
106.1	Trading Account Omnibus Account Originator Legal Entity Identifier (LEI)	Question 10i	Conditional. Required if information available AND isTradingAccount = 'Y' AND isOmnibus = 'Y' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	The legal entity identifier (LEI) assigned to the Originator entity by the LEI issuer		cftcBatch/cftcForm102/relatedAccount/relatedEntity@legalEntityIdentifier

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			Fields Separately Reported = 'Y'			
TRADING ACCOUNT OWNER(S)						
107.1	Trading Account Owner Indicator	Question 10ii	Conditional. Required if isTradingAccount = 'Y' AND isOmnibus = 'N' THEN isOwner = 'Y'	Indicates reporting special account owner	Y = Yes N = No	cftcBatch/cftcForm102/relatedAccount/relatedEntity@isOwner
108.1	Trading Account Owner Type Indicator	Question 10ii	Conditional. Required if isTradingAccount = 'Y' AND isOmnibus = 'N' AND isOwner = 'Y'	Indicates whether the special account owner is a legal entity or natural person	LE = Legal Entity NP = Natural Person	cftcBatch/cftcForm102/relatedAccount/relatedEntity@entityType
109.1	Trading Account Owner Optional Fields or Supplemental Fields	Question 10ii	Conditional, if isTradingAccount = 'Y' AND isOmnibus = 'N' AND isOwner = 'Y'	Indicates that one or more "Optional Fields" or "Supplemental Fields" not included in this question were	Y = Yes N = No	cftcBatch/cftcForm102/relatedAccount/relatedEntity@OptionalOrSuppFieldsSeparatelyReported

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Reported to LEI Provider			reported to the CICI Utility (or other CFTC-approved LEI provider) and are associated with the LEI provided in this submission		
IF TRADING ACCOUNT OWNER IS A LEGAL ENTITY						
110.1	Trading Account Owner Legal Entity Name	Question 10ii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isOwner='Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported='N'	Legal or registered name of the trading account owner		cftcBatch/cftcForm102/relatedAccount/relatedEntity@legalEntityName
IF TRADING ACCOUNT OWNER IS A NATURAL PERSON						

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
111.1	Trading Account Owner Natural Person Last Name	Question 10ii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isOwner='Y' AND entityType='NP' AND OptionalOrSuppFieldsSeparatelyReported='N'	Surname of the natural person trading account owner		cftcBatch/cftcForm102/relatedAccount/relatedEntity@lastName
112.1	Trading Account Owner Natural Person First Name	Question 10ii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isOwner='Y' AND entityType='NP' AND OptionalOrSuppFieldsSeparatelyReported='N'	Given or first in order name of the natural person trading account owner		cftcBatch/cftcForm102/relatedAccount/relatedEntity@firstName

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
113.1	Trading Account Owner Middle Name	Question 10ii	Conditional. Required if information available AND isTradingAccount='Y' AND isOmnibus='N' AND isOwner='Y' AND entityType='NP' AND OptionalOrSuppFieldsSeparatelyReported='N'	Middle name of the natural person trading account owner		cftcBatch/cftcForm102/relatedAccount/relatedEntity@middleName
114.1	Trading Account Owner Suffix	Question 10ii	Conditional. Required if information available AND isTradingAccount='Y' AND isOmnibus='N' AND isOwner='Y' AND entityType='NP'	Suffix of the natural person trading account owner		cftcBatch/cftcForm102/relatedAccount/relatedEntity@nameSuffix

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			AND OptionalOrSuppFieldsSeparatelyReported='N'			
FOR BOTH LEGAL ENTITIES AND NATURAL PERSONS						
<u>115.1</u>	Trading Account Owner Street Address	Question 10ii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isOwner='Y' AND OptionalOrSuppFieldsSeparatelyReported='N' AND FollowOnInformationToCome='N'	Street address of the trading account owner		cftcBatch/cftcForm102/relatedAccount/relatedEntity@street
<u>116.1</u>	Trading Account Owner Suite	Question 10ii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N'	Suite of the trading account owner		cftcBatch/cftcForm102/relatedAccount/relatedEntity@suite

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			AND isOwner='Y' AND OptionalOrSuppFieldsSeparatelyReported='N' AND FollowOnInformationToCome='N',			
117.1	Trading Account Owner City	Question 10ii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isOwner='Y' AND OptionalOrSuppFieldsSeparatelyReported='N' AND FollowOnInformationToCome='N',	City of the trading account owner		cftcBatch/cftcForm102/relatedAccount/relatedEntity@city
118.1	Trading Account Owner State	Question 10ii	Conditional. Required if isTradingAccount='Y'	State of the trading account owner <u>ISO 3166-2 geopolitical</u>		cftcBatch/cftcForm102/relatedAccount/relatedEntity@state

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			AND isOmnibus='N' AND isOwner='Y' AND OptionalOrSuppFieldsSeparatelyReported='N' AND FollowOnInformationToCome='N'	subdivision code: 1-3 alphanumeric characters		
119-1	Trading Account Owner Country	Question 10ii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isOwner='Y' AND OptionalOrSuppFieldsSeparatelyReported='N' AND FollowOnInformationToCome='N'	Country of the trading account owner ISO 3166-1 alpha-2 country code		cftcBatch/cftcForm102/relatedAccount/relatedEntity@country

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
120.1	Trading Account Owner Zip/Postal Code	Question 10ii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isOwner='Y' AND OptionalOrSuppFieldsSeparatelyReported='N' AND FollowOnInformationToCome='N'	Zip/Postal code of the trading account owner		cftcBatch/cftcForm102/relatedAccount/relatedEntity@postalCode
121.1	Trading Account Owner Phone Number	Question 10ii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isOwner='Y' AND OptionalOrSuppFieldsSeparatelyReported='N' AND FollowOnInform	Phone Number of the trading account owner		cftcBatch/cftcForm102/relatedAccount/relatedEntity@telephone

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			ationToCome='N',			
IF TRADING ACCOUNT OWNER IS A NATURAL PERSON						
122.1	Trading Account Owner Email Address	Question 10ii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isOwner='Y' AND entityType='NP' AND OptionalOrSuppFieldsSeparatelyReported='N' AND FollowOnInformationToCome='N',	Email address of the trading account owner		cftcBatch/cftcForm102/relatedAccount/relatedEntity@email
IF TRADING ACCOUNT OWNER IS A LEGAL ENTITY						
123.1	Trading Account Owner Contact Last	Question 10ii	Conditional. Required if isTradingAccount='Y'	Surname of the natural person contact for the owner		cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact@lastName

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Name		AND isOmnibus='N' AND isOwner='Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported='N' AND FollowOnInformationToCome='N'			
124.1	Trading Account Owner Contact First Name	Question 10ii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isOwner='Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported='N' AND FollowOnInform	First name of the natural person contact for the owner		cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact@firstName

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			ationToCome='N',			
<u>125.1</u>	Trading Account Owner Contact Middle Name	Question 10ii	Conditional. Required if information available AND isTradingAccount='Y' AND isOmnibus='N' AND isOwner='Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported='N' AND FollowOnInformationToCome='N',	Middle name of the natural person contact for the owner		cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact@middleName
<u>126.1</u>	Trading Account Owner Contact Suffix	Question 10ii	Conditional. Required if information available AND isTradingAccount='Y'	Suffix of the natural person contact for the owner		cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact@nameSuffix

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			AND isOmnibus='N' AND isOwner='Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported='N' AND FollowOnInformationToCome='N'			
127.1	Trading Account Owner Contact Job Title	Question 10ii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isOwner='Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported='N' AND FollowOnInform	Job title of the contact person for the ownership entity		cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact@titleOrPosition

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			ationToCome='N',			
128.1	Contact Relationship to Trading Account Owner	Question 10ii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isOwner='Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported='N' AND FollowOnInformationToCome='N',	Contact relationship to the trading account owner		cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact@relationship
129.1	Trading Account Owner Contact Phone Number	Question 10ii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isOwner='Y'	Phone number of the contact person for the ownership entity		cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact@telephone

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported='N' AND FollowOnInformationToCome='N',			
130.1	Trading Account Owner Contact Email Address	Question 10ii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isOwner='Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported='N' AND FollowOnInformationToCome='N',	Email address of the contact person for the ownership entity		cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact@email

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
131.1	Trading Account Owner Website	Question 10ii	Conditional. Required if information available AND isTradingAccount='Y' AND isOmnibus='N' AND isOwner='Y' AND OptionalOrSuppFieldsSeparatelyReported='N' AND FollowOnInformationToCome='N'	URL of the owner's website		cftcBatch/cftcForm102/relatedAccount/relatedEntity@website
132.1	Trading Account Owner NFA ID	Question 10ii	Conditional. Required if information available AND isTradingAccount='Y' AND isOmnibus='N' AND isOwner='Y' AND OptionalOrSuppFieldsSeparatelyRe	The identification number given to the ownership entity by the National Futures Association		cftcBatch/cftcForm102/relatedAccount/relatedEntity@NFAIdentifier

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			ported='N' AND FollowOnInformationToCome='N',			
133.1	Trading Account Owner Legal Entity Identifier (LEI)	Question 10ii	Conditional. Required if information available AND isTradingAccount='Y' AND isOmnibus='N' AND isOwner='Y' AND OptionalOrSuppFieldsSeparatelyReported='Y' AND FollowOnInformationToCome='N',	The legal entity identifier (LEI) assigned to the ownership entity by the LEI issuer		cftcBatch/cftcForm102/relatedAccount/relatedEntity@legalEntityIdentifier
TRADING ACCOUNT CONTROLLER(S)						
134.1	Trading Account Controller Indicator	Question 10iii	Conditional, if isTradingAccount='Y' AND isOmnibus='N' THEN	Indicates reporting special account Controller	Y = Yes N = No	cftcBatch/cftcForm102/relatedAccount/relatedEntity@isController

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			isController='Y'			
135.1	Trading Account Controller Entity Type	Question 10iii	Conditional, if isTradingAccount='Y' AND isOmnibus='N' AND isController='Y' THEN entityType='NP'		NP = Natural Person	cftcBatch/cftcForm102/relatedAccount/relatedEntity@entityType
136.1	Trading Account Controller Natural Person Last Name	Question 10iii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isController='Y'	Surname of the natural person trading account Controller		cftcBatch/cftcForm102/relatedAccount/relatedEntity@lastName
137.1	Trading Account Controller Natural Person First Name	Question 10iii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isController='Y'	Given or first in order name of the natural person trading account Controller		cftcBatch/cftcForm102/relatedAccount/relatedEntity@firstName
138.1	Trading Account	Question 10iii	Conditional. Required if	Middle name of the natural person		cftcBatch/cftcForm102/relatedAccount/relatedEntity

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Controller Natural Person Middle Name		information available AND isTradingAccount='Y' AND isOmnibus='N' AND isController='Y'	trading account Controller		y@middleName
139.1	Trading Account Controller Natural Person Suffix	Question 10iii	Conditional. Required if information available AND isTradingAccount='Y' AND isOmnibus='N' AND isController='Y'	Suffix of the natural person trading account Controller		cftcBatch/cftcForm102/relatedAccount/relatedEntity@nameSuffix
140.1	Trading Account Controller Street Address	Question 10iii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isController='Y' AND FollowOnInformationToCome='N',	Street address of the trading account Controller		cftcBatch/cftcForm102/relatedAccount/relatedEntity@street

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
141.1	Trading Account Controller Suite	Question 10iii	Conditional. Required if information available AND isTradingAccount='Y' AND isOmnibus='N' AND isController='Y' AND FollowOnInformationToCome='N',	Suite of the trading account Controller		cftcBatch/cftcForm102/relatedAccount/relatedEntity@suite
142.1	Trading Account Controller City	Question 10iii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isController='Y' AND FollowOnInformationToCome='N',	City of the trading account Controller		cftcBatch/cftcForm102/relatedAccount/relatedEntity@city

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
143.1	Trading Account Controller State	Question 10iii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isController='Y' AND FollowOnInformationToCome='N'	State of the trading account Controller ISO 3166-2 geopolitical subdivision code; 1-3 alphanumeric characters		cftcBatch/cftcForm102/relatedAccount/relatedEntity@state
144.1	Trading Account Controller Country	Question 10iii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isController='Y' AND FollowOnInformationToCome='N'	Country of the trading account Controller ISO 3166-1 alpha-2 country code		cftcBatch/cftcForm102/relatedAccount/relatedEntity@country
145.1	Trading Account Controller Zip/Postal	Question 10iii	Conditional. Required if isTradingAccount='Y'	Zip/Postal code of the trading account Controller		cftcBatch/cftcForm102/relatedAccount/relatedEntity@postalCode

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Code		AND isOmnibus='N' AND isController='Y' AND FollowOnInformationToCome='N',			
146.1	Trading Account Controller Phone Number	Question 10iii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isController='Y' AND FollowOnInformationToCome='N',	Phone Number of the trading account Controller		cftcBatch/cftcForm102/relatedAccount/relatedEntity@telephone
147.1	Trading Account Controller Name of Employer	Question 10iii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isController='Y'			cftcBatch/cftcForm102/relatedAccount/relatedEntity@employerName

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			AND FollowOnInformationToCome='N',			
148.1	Trading Account Controller Employer NFA ID	Question 10iii	Conditional. Required if information available AND isTradingAccount='Y' AND isOmnibus='N' AND isController='Y' AND FollowOnInformationToCome='N',			cftcBatch/cftcForm102/relatedAccount/relatedEntity@employerNFAIdentifier
149.1	Trading Account Controller Employer Legal Entity Identifier	Question 10iii	Conditional. Required if information available AND isTradingAccount='Y' AND isOmnibus='N' AND isController='Y'			cftcBatch/cftcForm102/relatedAccount/relatedEntity@employerLEI

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			AND FollowOnInformationToCome='N',			
150.1	Trading Account Controller Job Title	Question 10iii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isController='Y' AND FollowOnInformationToCome='N',	Job title of the contact person for the Controller entity		cftcBatch/cftcForm102/relatedAccount/relatedEntity@titleOrPosition
151.1	Relationship to Trading Account Owner	Question 10iii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isController='Y' AND FollowOnInformationToCome='N',	Relationship to the trading account owner		cftcBatch/cftcForm102/relatedAccount/relatedEntity@relationship

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
152.1	Trading Account Controller Email Address	Question 10iii	Conditional. Required if isTradingAccount='Y' AND isOmnibus='N' AND isController='Y' AND FollowOnInformationToCome='N',	Email address of the trading account Controller		cftcBatch/cftcForm102/relatedAccount/relatedEntity@email
153.1	Trading Account Controller NFA ID	Question 10iii	Conditional. Required if information available AND isTradingAccount='Y' AND isOmnibus='N' AND isController='Y' AND FollowOnInformationToCome='N',	The identification number given to the Controller entity by the National Futures Association		cftcBatch/cftcForm102/relatedAccount/relatedEntity@NFAIdentifier

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
FOR REPORTING FIRMS THAT ARE FOREIGN BROKERS						
154.1	U.S. Futures Commission Merchant Indicator	Question 11	Conditional, if cftcForm102@isFB = 'Y' THEN relatedEntity@isFCM = 'Y'	Indicates U.S. futures commission merchant when reporting firm indicated as foreign broker	Y = Yes N = No	cftcBatch/cftcForm102/relatedEntity@isFCM ¹³
155.1	U.S. Futures Commission Merchant Entity Type	Question 11	Conditional, if isFCM = 'Y' THEN entityType = 'LE'		LE = Legal Entity	cftcBatch/cftcForm102/relatedEntity@entityType
156.1	U.S. Futures Commission Merchant Legal Entity Name	Question 11	Conditional, if isFCM = 'Y'	Legal Entity Name of the U.S. Futures Commission Merchant		cftcBatch/cftcForm102/relatedEntity@legalEntityName
157.1	U.S. Futures Commission Merchant Street	Question 11	Conditional, if isFCM = 'Y'	Street address of the reportable account U.S. Futures		cftcBatch/cftcForm102/relatedEntity@street

¹³ Foreign broker reporting parties may report multiple U.S. futures commission merchants in response to question 11 on the Form 102A. To do so, reporting parties must provide an additional relatedEntity element for each reported U.S. FCM. Each element should contain isFCM = 'Y' and all fields should be completed with respect to each reported U.S. FCM.

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Address			Commission Merchant		
158.1	U.S. Futures Commission Merchant Suite	Question 11	Conditional. Required if information available AND isFCM = 'Y'	Suite of the reportable account U.S. Futures Commission Merchant		cftcBatch/cftcForm102/relatedEntity@suite
159.1	U.S. Futures Commission Merchant City	Question 11	Conditional, if isFCM = 'Y'	City of the reportable account U.S. Futures Commission Merchant		cftcBatch/cftcForm102/relatedEntity@city
160.1	U.S. Futures Commission Merchant State	Question 11	Conditional, if isFCM = 'Y'	State of the reportable account U.S. Futures Commission Merchant <u>ISO 3166-2 geopolitical subdivision code; 1-3 alphanumeric characters</u>		cftcBatch/cftcForm102/relatedEntity@state
161.1	U.S. Futures Commission	Question 11	Conditional, if isFCM = 'Y'	Country of the reportable		cftcBatch/cftcForm102/relatedEntity@country

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Merchant Country			account U.S. Futures Commission Merchant ISO 3166-1 alpha-2 country code		
162.1	U.S. Futures Commission Merchant Zip/Postal Code	Question 11	Conditional, if isFCM = 'Y'	Zip/Postal code of the reportable account U.S. Futures Commission Merchant		cftcBatch/cftcForm102/relatedEntity@postalCode
163.1	U.S. Futures Commission Merchant Contact Last Name	Question 11	Conditional, if isFCM = 'Y'	Surname of the natural person contact for the U.S. Futures Commission Merchant		cftcBatch/cftcForm102/relatedEntity/contact@lastName
164.1	U.S. Futures Commission Merchant Contact First Name	Question 11	Conditional, if isFCM = 'Y'	First name of the natural person contact for the U.S. Futures Commission Merchant		cftcBatch/cftcForm102/relatedEntity/contact@firstName
165.1	U.S. Futures Commission Merchant	Question 11	Conditional. Required if information	Middle name of the natural person contact for the		cftcBatch/cftcForm102/relatedEntity/contact@middleName

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Contact Middle Name		available AND isFCM = 'Y'	U.S. Futures Commission Merchant		
166.1	U.S. Futures Commission Merchant Contact Suffix	Question 11	Conditional. Required if information available AND isFCM = 'Y'	Suffix of the natural person contact for the U.S. Futures Commission Merchant		cftcBatch/cftcForm102/relatedEntity/contact@nameSuffix
167.1	U.S. Futures Commission Merchant Contact Job Title	Question 11	Conditional, if isFCM = 'Y'	Job title of the contact person at or related to the U.S. Futures Commission Merchant entity		cftcBatch/cftcForm102/relatedEntity/contact@titleOrPosition
168.1	U.S. Futures Commission Merchant Contact Phone Number	Question 11	Conditional, if isFCM = 'Y'	Phone number of the contact person at or related to the U.S. Futures Commission Merchant entity		cftcBatch/cftcForm102/relatedEntity/contact@telephone
169.1	U.S. Futures Commission Merchant Contact Email	Question 11	Conditional, if isFCM = 'Y'	Email address of the contact person at or related to the U.S. Futures		cftcBatch/cftcForm102/relatedEntity/contact@email

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Address			Commission Merchant entity		
170.1	Reporting Firm Authorization Indicator	Signature/Authentication	Yes	Indicates if the submitter is duly authorized by the reporting firm to provide the information and representations submitted on this Form 102, and that information and representations are true and correct	Y = authorized N = not authorized	cftcBatch/cftcForm102/contact@isAuthorizedRepresentative
171.1	Authorized Representative Last Name	Signature/Authentication	Yes	Surname of the authorized representative		cftcBatch/cftcForm102/contact@lastName
172.1	Authorized Representative First Name	Signature/Authentication	Yes	Given or first in order name of the authorized representative		cftcBatch/cftcForm102/contact@firstName
173.1	Authorized Representative Middle Name	Signature/Authentication	Yes	Middle name of the authorized representative		cftcBatch/cftcForm102/contact@middleName

	Data Element	Form 102A Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
174.1	Authorized Representative Name Suffix	Signature/Authentication	Yes	Generation or name suffix of the authorized representative		cftcBatch/cftcForm102/contact@nameSuffix
175.1	Authorized Representative Position	Signature/Authentication	Yes	Job position of the authorized representative		cftcBatch/cftcForm102/contact@titleOrPosition
176.1	Authorized Representative Submitted on behalf of	Signature/Authentication	Yes	Reporting Firm Name 102 was submitted on behalf of		cftcBatch/cftcForm102@onBehalfOf
177.1	Date of Submission	Signature/Authentication	Yes	Date [indicated by the authorized representative] that the form was submitted to CFTC		cftcBatch/cftcForm102@submitDate

Data Dictionary for Form 102B – Identifying and reporting a volume threshold account¹⁴

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¹⁴ When reviewing the data elements in this Technical Document, reporting parties should also review and consult the OCR Final Rule, including the requirements of the reporting forms attached as an appendix thereto. The reporting forms are the basis for these data elements. Reporting parties should visit this link to view the OCR Final Rule on the Federal Register: <https://www.federalregister.gov/articles/2013/11/18/2013-26789/ownership-and-control-reports-forms-102102s-4040s-and-71>

Visit this link to view a pdf copy of the OCR Final Rule: <http://www.cftc.gov/ucm/groups/public/@lrfederalregister/documents/file/2013-26789a.pdf>

Note with regard to give-up reporting [and as-of reporting](#) on Form 102B:¹⁵

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
1.	New/Modified Indicator	Question 1	Yes	Indicates whether the volume threshold account (102B) is: <ul style="list-style-type: none"> • Re-submitted or modified Information for a previously reported volume threshold account • Re-submitted or modified Information for a previousl 	N = New M = Modified	cftcBatch/cftcForm102@informationType

¹⁵ When reporting via Form 102B, reporting parties that receive give-up [trades or as-of](#) trades on a delayed basis may account for those trades as of the date the trade was originally executed, or as of the date on which the trade is actually received by the reporting party.

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				y reported volume threshold account		
2.	Volume Threshold Trading Account Indicator	Question 2	Yes, isTradingAccount='Y'		Y=Yes N=No	cftcBatch/cftcForm102/relatedAccount@isTradingAccount
3.2.	Volume Threshold Trading Account Number	Question 2	Conditional. Required if isTradingAccount='Y' Yes	For each Volume Threshold reported by an entity, provide the trading account number		cftcBatch/cftcForm102/relatedAccount@accountNumber
4.3.	Short Code	Question 2	Conditional. Required if isTradingAccount='Y' accountCategory='VT'	For each the Volume Threshold account reported by an entity, provide the related short code		cftcBatch/cftcForm102/relatedAccount/relatedAcctInfo@accountShortCode
5.4.	Reporting Market	Question 2	Conditional. Required if isTradingAccount='Y' accountCat	Identify the reporting market at which each trading account	ISO Market Identifier Code (MIC) located at: http://www.iso1502	cftcBatch/cftcForm102/relatedAccount/relatedAcctInfo@marketIdentifier

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			egory='VT'	number appears ¹⁶	2.org/MIC/homepageMIC.htm ¹⁷	
<u>6.5.</u>	Associated Special Account Indicator	Question 3	No	If the volume threshold account has been previously identified as a trading account that comprises a special account(s) reported by a clearing member in question 9 in section 102A	Y = Yes N = No	cftcBatch/cftcForm102/relatedAccount@isSpecialAccount
<u>7.6.</u>	Associated Special Account Number	Question 3	No	If the volume threshold account has been previously		cftcBatch/cftcForm102/relatedAccount@accountNumber

¹⁶ If a trading account number appears at multiple reporting markets, then reporting parties may report multiple reporting markets in response to question 2 on the Form 102B. In this case, parties should report a short code for the trading account in connection with each such reporting market.

¹⁷ See the CFTC website at <http://www.cftc.gov/IndustryOversight/TradingOrganizations/index.htm> for a list of trading organizations regulated by the CFTC.

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				identified as a trading account that comprises a special account(s) reported by a clearing member in question 9 in section 102A		
VOLUME THRESHOLD ACCOUNT OWNERSHIP AND CONTROL INFORMATION						
OMNIBUS ACCOUNT INFORMATION						
8.7.	Volume Threshold Account Omnibus Account Indicator	Question 4	Conditional. Required if isTradingAccount ='Y' accountCategory='VT'	Is the Volume Threshold Account an omnibus account, or used to execute trades for an omnibus account	Y = Yes N = No	cftcBatch/cftcForm102/relatedAccount@isOmnibus
9.8.	House or Customer Indicator	Question 4	Conditional. Required if isTradingAccount ='Y' accountCategory='VT' AND isOmnibus	If the reported Volume Threshold Account is being reported as an Omnibus	H = House C = Customer	cftcBatch/cftcForm102/relatedAccount@accountClass

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			= 'Y'	Account indicate whether the Volume Threshold Account Omnibus Account is a house or customer account of the reporting firm		
10.9.	Volume Threshold Account Omnibus Account Originator Indicator	Question 4	Conditional. Required if isTradingAccount ≠ 'Y' <u>accountCategory</u> = 'VT' AND isOmnibus = 'Y' THEN isOriginator = 'Y'	Indicates reporting Volume Threshold Account Omnibus Account originator	Y = Yes N = No	cftcBatch/cftcForm102/ relatedAccount /relatedEntity@isOriginator
11.10	Volume Threshold Account Omnibus Account Optional	Question 4	Conditional. Required if isTradingAccount ≠ 'Y' <u>accountCategory</u> = 'VT'	Indicates that one or more "Optional Fields" or "Supplemental Fields" not included in this	Y = Yes N = No	cftcBatch/cftcForm102/ relatedAccount /relatedEntity@OptionalOrSuppFieldsSeparatelyReported

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Fields or Supplemental Fields Reported to LEI Provider		AND isOmnibus = 'Y'	question were reported to the CICI Utility (or other CFTC-approved LEI provider) and are associated with the LEI provided in this submission		
12.11	Volume Threshold Account Omnibus Account Entity Type	Question 4	Yes, entityType='LE'		LE=Legal Entity	cftcBatch/cftcForm102/ relatedAccount /relatedEntityType
13.12	Volume Threshold Account Omnibus Account Originator Name	Question 4	Conditional. Required if isTradingAccount = 'Y' <u>accountCategory = 'VT'</u> AND isOmnibus = 'Y' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Legal or registered name of the reportable account Originator		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@legalEntityName

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
14.13	Volume Threshold Account Omnibus Account Originator Street Address	Question 4	Conditional. Required if isTradingAccount = 'Y' <u>accountCategory</u> = 'VT' AND isOmnibus = 'Y' AND OptionalOrSupp FieldsSeparately Reported = 'N'	Street address of the reportable account Originator		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@street
15.14	Volume Threshold Account Omnibus Account Originator Suite	Question 4	Conditional. Required if information available AND isTradingAccount = 'Y' <u>accountCategory</u> = 'VT' AND isOmnibus = 'Y' AND OptionalOrSupp	Suite of the reportable account Originator		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@suite

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			FieldsSeparately Reported = 'N'			
16,15	Volume Threshold Account Omnibus Account Originator City	Question 4	Conditional. Required if isTradingAccount = 'Y' <u>accountCategory = 'VT'</u> AND isOmnibus = 'Y' AND OptionalOrSupp FieldsSeparately Reported = 'N'	City of the reportable account Originator		cftcBatch/cftcForm102/ relatedAccount/ relatedEntity@city
17,16	Volume Threshold Account Omnibus Account Originator State	Question 4	Conditional. Required if isTradingAccount = 'Y' <u>accountCategory = 'VT'</u> AND isOmnibus = 'Y' AND OptionalOrSupp FieldsSeparately Reported = 'N'	State of the reportable account Originator <u>ISO 3166-2 geopolitical subdivision code; 1-3 alphanumeric characters</u>		cftcBatch/cftcForm102/ relatedAccount/ relatedEntity@state

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
18 17	Volume Threshold Account Omnibus Account Originator Country	Question 4	Conditional. Required if isTradingAccount = 'Y' accountCategory = 'VT' AND isOmnibus = 'Y' AND OptionalOrSupp FieldsSeparately Reported = 'N'	Country of the reportable account Originator ISO 3166-1 alpha-2 country code		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@country
19 18	Volume Threshold Account Omnibus Account Originator Zip/Postal Code	Question 4	Conditional. Required if isTradingAccount = 'Y' accountCategory = 'VT' AND isOmnibus = 'Y' AND OptionalOrSupp FieldsSeparately Reported = 'N'	Zip/Postal code of the reportable account Originator		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@postalCode
20 19	Volume Threshold Account Omnibus	Question 4	Conditional. Required if isTradingAccount = 'Y'	Phone Number of the reportable account Originator		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@telephone

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Account Originator Phone Number		<u>accountCategory</u> = 'VT' AND isOmnibus = 'Y' AND OptionalOrSupp FieldsSeparately Reported = 'N'			
21-20	Volume Threshold Account Omnibus Account Originator Contact Last Name	Question 4	Conditional. Required if isTradingAccount = 'Y' <u>accountCategory</u> = 'VT' AND isOmnibus = 'Y' AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported = 'N'	Surname of the natural person contact for the Originator		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@lastName
22-21	Volume Threshold Account Omnibus Account Originator Contact First	Question 4	Conditional. Required if isTradingAccount = 'Y' <u>accountCategory</u> = 'VT' AND isOmnibus	First name of the natural person contact for the Originator		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@firstName

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Name		= 'Y' AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported = 'N'			
23 22	Volume Threshold Account Omnibus Account Contact Middle Name	Question 4	Conditional. Required if information available AND isTradingAccount = 'Y' <u>accountCategory</u> = 'VT' AND isOmnibus = 'Y' AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported = 'N'	Middle name of the natural person contact for the Originator		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@middleName
24 23	Volume Threshold Account Omnibus	Question 4	Conditional. Required if information available AND	Suffix of the natural person contact for the Originator		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@nameSuffix

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Account Contact Suffix		isTradingAccount='Y' accountCategory='VT' AND isOmnibus='Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported = 'N'			
25-24	Volume Threshold Account Omnibus Account Originator Contact Job Title	Question 4	Conditional. Required if isTradingAccount='Y' accountCategory='VT' AND isOmnibus='Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Job title of the contact person for the Originator entity		cftcBatch/cftcForm102/ relatedAccount/ relatedEntity/contact@titleOrPosition

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
26 25	Contact Relationship to Volume Threshold Account Omnibus Account Originator	Question 4	Conditional. Required if isTradingAccount = 'Y' accountCategory = 'VT' AND isOmnibus = 'Y' AND entityType = 'LE' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Contact relationship to the Originator entity		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@relationship
27 26	Volume Threshold Account Omnibus Account Originator Contact Phone Number	Question 4	Conditional. Required if isTradingAccount = 'Y' accountCategory = 'VT' AND isOmnibus = 'Y' AND entityType = 'LE' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Phone number of the contact person for the Originator entity		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@telephone

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
28 ,27	Volume Threshold Account Omnibus Account Originator Contact Email Address	Question 4	Conditional. Required if isTradingAccount = 'Y' <u>accountCategory</u> = 'VT' AND isOmnibus = 'Y' AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported = 'N'	Email address of the contact person for the Originator entity		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@email
29 ,28	Volume Threshold Account Omnibus Account Originator Website	Question 4	Conditional. Required if information available AND if isTradingAccount = 'Y' <u>accountCategory</u> = 'VT' AND isOmnibus = 'Y' AND entityType='LE' AND	URL of the Originator's website		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@website

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			OptionalOrSupp FieldsSeparately Reported = 'N'			
30,29	Volume Threshold Account Omnibus Account Originator NFA ID	Question 4	Conditional. Required if information available AND if isTradingAccount = 'Y' <u>accountCategory = 'VT'</u> AND isOmnibus = 'Y' AND OptionalOrSupp FieldsSeparately Reported = 'N'	The identification number given to the Originator entity by the National Futures Association		cftcBatch/cftcForm102/ relatedAccount/ relatedEntity@NFAIdentifier
31,30	Volume Threshold Account Omnibus Account Originator Legal Entity Identifier (LEI)	Question 4	Conditional. Required if isTradingAccount = 'Y' <u>accountCategory = 'VT'</u> AND isOmnibus = 'Y' AND OptionalOrSupp FieldsSeparately	The legal entity identifier (LEI) assigned to the Originator entity by the LEI issuer		cftcBatch/cftcForm102/ relatedAccount/ relatedEntity@legalEntityIdentifier

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			Reported = 'Y'			
VOLUME THRESHOLD ACCOUNT OWNER(S)						
32 ,31	Volume Threshold Account Owner Indicator	Question 5	Conditional. Required if isTradingAccount = 'Y' accountCategory = 'VT' AND isOmnibus = 'N' THEN isOwner = 'Y'	Indicates reportable Volume Threshold account owner	Y = Yes N = No	cftcBatch/cftcForm102/ relatedAccount /relatedEntity@isOwner
33 ,32	Volume Threshold Account Owner Type Indicator	Question 5	Conditional. Required if isTradingAccount = 'Y' accountCategory = 'VT' AND isOmnibus = 'N' AND isOwner = 'Y'	Indicates whether the Volume Threshold account owner is a legal entity or natural person	LE = Legal Entity NP = Natural Person	cftcBatch/cftcForm102/ relatedAccount /relatedEntity@entityType
34 ,33	Volume Threshold Account Owner Optional	Question 5	Conditional. Required if isTradingAccount = 'Y' accountCategory = 'VT'	Indicates that one or more "Optional Fields" or "Supplemental Fields" not		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@OptionalOrSuppFieldsSeparatelyReported

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Fields or Supplemental Fields Reported to LEI Provider		AND isOmnibus='N' AND isOwner='Y'	included in this question were reported to the CICI Utility (or other CFTC-approved LEI provider) and are associated with the LEI provided in this submission		
IF VOLUME THRESHOLD ACCOUNT OWNER IS A LEGAL ENTITY						
35 34	Volume Threshold Account Owner Legal Entity Name	Question 5	Conditional. Required if isTradingAccount='Y' <u>accountCategory='VT'</u> AND isOmnibus='N' AND isOwner='Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparately	Legal or registered name of the reportable account owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@legalEntityName

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			Reported='N'			
IF VOLUME THRESHOLD ACCOUNT OWNER IS A NATURAL PERSON						
36 35	Volume Threshold Account Owner Last Name	Question 5	Conditional. Required if isTradingAccount ='Y' accountCategory='VT' AND isOmnibus='N' AND isOwner='Y' AND entityType='NP' AND OptionalOrSuppFieldsSeparatelyReported='N'	Surname of the natural person reportable account owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@lastName
37 36	Volume Threshold Account Owner First Name	Question 5	Conditional. Required if isTradingAccount ='Y' accountCategory='VT' AND isOmnibus='N' AND	Given or first in order name of the natural person reportable account owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@firstName

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			isOwner='Y' AND entityType='NP' AND OptionalOrSupp FieldsSeparately Reported='N'			
38 <u>37</u>	Volume Threshold Account Owner Middle Name	Question 5	Conditional. Required if information available ANDisTradingAccount='Y'AND accountCategory='VT' AND isOmnibus='N' AND isOwner='Y' AND entityType='NP' AND OptionalOrSupp FieldsSeparately Reported='N'	Middle name of the natural person reportable account owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @middleName
39 <u>38</u>	Volume Threshold Account	Question 5	Conditional. Required if information	Suffix of the natural person reportable		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @nameSuffix

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Owner Suffix		available AND isTradingAccount='Y'AND account Category='VT' AND isOmnibus='N' AND isOwner='Y' AND entityType='NP' AND OptionalOrSuppFieldsSeparatelyReported='N'	account owner		
FOR BOTH LEGAL ENTITIES AND NATURAL PERSONS						
40.39	Volume Threshold Account Owner Street Address	Question 5	Conditional. Required if isTradingAccount ='Y'and account Category='VT' AND isOmnibus='N' AND isOwner='Y' AND	Street address of the reportable account owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@street

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			OptionalOrSupp FieldsSeparately Reported='N' AND FollowOnInformationToCome='N'			
41.40	Volume Threshold Account Owner Suite	Question 5	Conditional. Required if information available AND isTradingAccount='Y' <u>accountCategory='VT'</u> AND isOmnibus='N' AND isOwner='Y' AND OptionalOrSupp FieldsSeparately Reported='N' AND FollowOnInformationToCome='N'	Suite of the reportable account owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@suite

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
42.41	Volume Threshold Account Owner City	Question 5	Conditional. Required if isTradingAccount is Y accountCategory = ' VT ' AND isOmnibus= ' N ' AND isOwner= ' Y ' AND OptionalOrSuppFieldsSeparatelyReported= ' N ' AND FollowOnInformationToCome= ' N '	City of the reportable account owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@city
43.42	Volume Threshold Account Owner State	Question 5	Conditional. Required if isTradingAccount is Y accountCategory = ' VT ' AND isOmnibus= ' N ' AND isOwner= ' Y ' AND OptionalOrSupp	State of the reportable account owner ISO 3166-2 geopolitical subdivision code; 1-3 alphanumeric characters		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@state

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			FieldsSeparately Reported='N' AND FollowOnInformationToCome='N'			
44.43	Volume Threshold Account Owner Country	Question 5	Conditional. Required if isTradingAccount='Y' accountCategory='VT' AND isOmnibus='N' AND isOwner='Y' AND OptionalOrSupp FieldsSeparately Reported='N' AND FollowOnInformationToCome='N'	Country of the reportable account owner <u>ISO 3166-1 alpha-2 country code</u>		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@country
45.44	Volume Threshold Account Owner Zip/Postal	Question 5	Conditional. Required if isTradingAccount='Y' accountCategory='VT'	Zip/Postal code of the reportable account owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@postalCode

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Code		AND isOmnibus='N' AND isOwner='Y' AND OptionalOrSupp FieldsSeparately Reported='N' AND FollowOnInform ationToCome=' N'			
46.45	Volume Threshold Account Owner Phone Number	Question 5	Conditional. Required if isTradingAccount='Y' <u>accountCategory='VT'</u> AND isOmnibus='N' AND isOwner='Y' AND OptionalOrSupp FieldsSeparately Reported='N' AND FollowOnInform ationToCome='	Phone Number of the reportable account owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @telephone

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			N'			
IF VOLUME THRESHOLD ACCOUNT OWNER IS A NATURAL PERSON						
47.46	Volume Threshold Account Owner Email Address	Question 5	Conditional. Required if isTradingAccount='Y' accountCategory='VT' AND isOmnibus='N' AND isOwner='Y' AND entityType='NP' AND OptionalOrSuppFieldsSeparatelyReported='N' AND FollowOnInformationToCome='N'	Email address of the reportable account owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@email
IF VOLUME THRESHOLD ACCOUNT OWNER IS A LEGAL ENTITY						
48.47	Volume Threshold	Question 5	Conditional. Required if	Surname of the natural person		cftcBatch/cftcForm102/ relatedAccount /relatedEntity

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Account Owner Contact Last Name		isTradingAccount='Y' <u>accountCategory='VT'</u> AND isOmnibus='N' AND isOwner='Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported='N' AND FollowOnInformationToCome='N'	contact for the owner		/contact@lastName
49.48	Volume Threshold Account Owner Contact First Name	Question 5	Conditional. Required if isTradingAccount='Y' <u>accountCategory='VT'</u> AND isOmnibus='N' AND isOwner='Y' AND entityType='LE'	First name of the natural person contact for the owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@firstName

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			AND OptionalOrSupp FieldsSeparately Reported='N' AND FollowOnInform ationToCome=' N'			
50.49	Volume Threshold Account Owner Contact Middle Name	Question 5	Conditional. Required if information available AND isTradingAccount ='Y' accountCat egory='VT' AND isOmnibus='N' AND isOwner='Y' AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported='N' AND FollowOnInform ationToCome='	Middle name of the natural person contact for the owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity /contact@middleName

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			N'			
51 50	Volume Threshold Account Owner Contact Suffix	Question 5	Conditional. Required if information available AND isTradingAccount='Y' accountCategory='VT' AND isOmnibus='N' AND isOwner='Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported='N' AND FollowOnInformationToCome='N'	Suffix of the natural person contact for the owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@nameSuffix
52 51	Volume Threshold Account Owner	Question 5	Conditional. Required if isTradingAccount='Y' accountCategory='VT'	Job title of the contact person at for the ownership entity		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@titleOrPosition

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Contact Job Title		<u>egory='VT'</u> AND isOmnibus='N' AND isOwner='Y' AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported='N' AND FollowOnInform ationToCome=' N'			
<u>53.52</u>	Contact Relationship to Volume Threshold Account Owner	Question 5	Conditional. Required if isTradingAccount ='Y' accountCat <u>egory='VT'</u> AND isOmnibus='N' AND isOwner='Y' AND entityType='LE' AND OptionalOrSupp	Contact relationship to the ownership entity		cftcBatch/cftcForm102/ relatedAccount /relatedEntity /contact@relationship

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			FieldsSeparately Reported='N' AND FollowOnInformationToCome='N'			
54 53	Volume Threshold Account Owner Contact Phone Number	Question 5	Conditional. Required if isTradingAccount ='Y' accountCategory ='VT' AND isOmnibus='N' AND isOwner='Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparately Reported='N' AND FollowOnInformationToCome='N'	Phone number of the contact person for the ownership entity		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@telephone
55 54	Volume Threshold Account	Question 5	Conditional. Required if isTradingAccount isTradingAccount	Email address of the contact person for the		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@email

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Owner Contact Email Address		isOwner='Y' <u>accountCategory='VT'</u> AND isOmnibus='N' AND isOwner='Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported='N' AND FollowOnInformationToCome='N'	ownership entity		
56,55	Volume Threshold Account Owner Website	Question 5	Conditional. Required if information available AND, if <u>isTradingAccount</u> isOwner='Y' <u>accountCategory='VT'</u> AND isOmnibus='N' AND isOwner='Y'	URL of the owner's website		cftcBatch/cftcForm102/ relatedAccount/ relatedEntity@website

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			AND OptionalOrSupp FieldsSeparately Reported='N' AND FollowOnInform ationToCome=' N'			
57-56	Volume Threshold Account Owner NFA ID	Question 5	Conditional. Required if information available AND isTradingAccount ='Y' accountCat egory='VT' AND isOmnibus='N' AND isOwner='Y' AND OptionalOrSupp FieldsSeparately Reported='N' AND FollowOnInform ationToCome=' N'	The identification number given to the ownership entity by the National Futures Association		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @NFAIdentifier

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
58 57	Volume Threshold Account Owner Legal Entity Identifier (LEI)	Question 5	Conditional. Required if information available AND isTradingAccount != 'Y' accountCategory = 'VT' AND isOmnibus = 'N' AND isOwner = 'Y' AND OptionalOrSuppFieldsSeparatelyReported = 'Y' AND FollowOnInformationToCome = 'N'	The legal entity identifier (LEI) assigned to the ownership entity by the LEI issuer		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@legalEntityIdentifier
VOLUME THRESHOLD ACCOUNT CONTROLLER(S)						
59 58	Volume Threshold Account Controller Indicator	Question 6	Conditional. Required if isTradingAccount != 'Y' accountCategory = 'VT' AND	Indicates reporting Volume Threshold account Controller	Y = Yes N = No	cftcBatch/cftcForm102/ relatedAccount /relatedEntity@isController

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			isOmnibus='N' THEN isController='Y'			
60 59	Volume Threshold Account Controller Entity Type	Question 6	Conditional. Required if isTradingAccount ='Y' accountCategory ='VT' AND isOmnibus='N' AND isController='Y' THEN entityType='NP'		NP = Natural Person	cftcBatch/cftcForm102/ relatedAccount /relatedEntity @entityType
61 60	Volume Threshold Account Controller Natural Person Last Name	Question 6	Conditional. Required if isTradingAccount ='Y' accountCategory ='VT' AND isOmnibus='N' AND isController='Y'	Surname of the natural person reportable account Controller		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @lastName
62 61	Volume Threshold Account Controller Natural	Question 6	Conditional. Required if isTradingAccount ='Y' accountCategory ='VT'	Given or first in order name of the natural person reportable account		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @firstName

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Person First Name		AND isOmnibus='N' AND isController='Y'	Controller		
63 .62	Volume Threshold Account Controller Natural Person Middle Name	Question 6	Conditional. Required if information available AND isTradingAccount='Y' accountCategory='VT' AND isOmnibus='N' AND isController='Y'	Middle name of the natural person reportable account Controller		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @middleName
64 .63	Volume Threshold Account Controller Natural Person Suffix	Question 6	Conditional. Required if information available AND isTradingAccount='Y' accountCategory='VT' AND isOmnibus='N' AND isController='Y'	Suffix of the natural person reportable account Controller		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @nameSuffix

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
65-64	Volume Threshold Account Controller Street Address	Question 6	Conditional. Required if isTradingAccount isTradingAccount = 'Y' accountCategory = 'VT' AND isOmnibus = 'N' AND isController = 'Y' AND FollowOnInformationToCome = 'N'	Street address of the reportable account Controller		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@street
66-65	Volume Threshold Account Controller Suite	Question 6	Conditional (not required), if isTradingAccount isTradingAccount = 'Y' accountCategory = 'VT' AND isOmnibus = 'N' AND isController = 'Y' AND FollowOnInformationToCome = 'N'	Suite of the reportable account Controller		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@suite

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
67 66	Volume Threshold Account Controller City	Question 6	Conditional. Required if isTradingAccount is Y accountCategory = ' VT ' AND isOmnibus='N' AND isController='Y' AND FollowOnInformationToCome='N'	City of the reportable account Controller		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@city
68 67	Volume Threshold Account Controller State	Question 6	Conditional. Required if isTradingAccount is Y accountCategory = ' VT ' AND isOmnibus='N' AND isController='Y' AND FollowOnInformationToCome='N'	State of the reportable account Controller ISO 3166-2 geopolitical subdivision code; 1-3 alphanumeric characters		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@state

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
69 68	Volume Threshold Account Controller Country	Question 6	Conditional. Required if <u>isTradingAccount</u> = 'Y' <u>accountCategory</u> = 'VT' AND <u>isOmnibus</u> = 'N' AND <u>isController</u> = 'Y' AND <u>FollowOnInformationToCome</u> = 'N'	<u>Country of the reportable account Controller ISO 3166-1 alpha-2 country code</u>		cftcBatch/cftcForm102/ <u>relatedAccount</u> /relatedEntity@country
70 69	Volume Threshold Account Controller Zip/Postal Code	Question 6	Conditional. Required if <u>isTradingAccount</u> = 'Y' <u>accountCategory</u> = 'VT' AND <u>isOmnibus</u> = 'N' AND <u>isController</u> = 'Y' AND <u>FollowOnInformationToCome</u> = 'N'	Zip/Postal code of the reportable account Controller		cftcBatch/cftcForm102/ <u>relatedAccount</u> /relatedEntity@postalCode

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
71 70	Volume Threshold Account Controller Phone Number	Question 6	Conditional. Required if isTradingAccount isTradingAccount != 'Y' accountCategory = 'VT' AND isOmnibus = 'N' AND isController = 'Y' AND FollowOnInformationToCome = 'N'	Phone Number of the reportable account Controller		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@telephone
72 71	Volume Threshold Account Controller Name of Employer	Question 6	Conditional. Required if isTradingAccount isTradingAccount != 'Y' accountCategory = 'VT' AND isOmnibus = 'N' AND isController = 'Y' AND FollowOnInformationToCome = 'N'			cftcBatch/cftcForm102/ relatedAccount /relatedEntity@employerName

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			ationToCome='N'			
75 74	Volume Threshold Account Controller Job Title	Question 6	Conditional. Required if isTradingAccount='Y' accountCategory='VT' AND isOmnibus='N' AND isController='Y' AND FollowOnInformationToCome='N'	Job title of the contact person for the Controller entity		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@titleOrPosition
76 75	Relationship to Volume Threshold Account Owner	Question 6	Conditional. Required if isTradingAccount='Y' accountCategory='VT' AND isOmnibus='N' AND isController='Y' AND FollowOnInformationToCome='N'	Contact relationship to trading account owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@relationship

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			N'			
77 76	Volume Threshold Account Controller Email Address	Question 6	Conditional. Required if isTradingAccount='Y' accountCategory='VT' AND isOmnibus='N' AND isController='Y' AND FollowOnInformationToCome='N'	Email address of the reportable account Controller		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@email
78 77	Volume Threshold Account Controller NFA ID	Question 6	Conditional. Required if information available AND isTradingAccount='Y' accountCategory='VT' AND isOmnibus='N' AND isController='Y' AND	The identification number given to the Controller entity by the National Futures Association		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@NFAIdentifier

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			FollowOnInformationToCome='N'			
79 78	Reporting Firm Authorization Indicator	Signature/Authentication	Yes	Indicates if the submitter is duly authorized by the reporting firm to provide the information and representations submitted on this Form 102, and that information and representations are true and correct	Y = authorized N = not authorized	cftcBatch/cftcForm102/contact@isAuthorizedRepresentative
80 79	Authorized Representative Last Name	Signature/Authentication	Yes	Surname of the authorized representative		cftcBatch/cftcForm102/contact@lastName
81 80	Authorized Representative First Name	Signature/Authentication	Yes	Given or first in order name of the authorized representative		cftcBatch/cftcForm102/contact@firstName
82 81	Authorized Representative	Signature/Authentication	Yes	Middle name of the authorized		cftcBatch/cftcForm102/contact@middleName

	Data Element	Form 102B Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	ve Middle Name			representative		
83 <u>82</u>	Authorized Representative Name Suffix	Signature/Authentication	Yes	Generation or name suffix of the authorized representative		cftcBatch/cftcForm102/contact@nameSuffix
84 <u>83</u>	Authorized Representative Position	Signature/Authentication	Yes	Job position of the authorized representative		cftcBatch/cftcForm102/contact@titleOrPosition
85 <u>84</u>	Authorized Representative Submitted on behalf of	Signature/Authentication	Yes	Reporting Firm Name 102 was submitted on behalf of		cftcBatch/cftcForm102@onBehalfOf
86 <u>85</u>	Date of Submission	Signature/Authentication	Yes	Date [indicated by the authorized representative] that the form was submitted to CFTC		cftcBatch/cftcForm102@submitDate

Data Dictionary for Form 102S – Identifying and reporting a consolidated account¹⁸

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
1.	New/Modified Indicator	Question 1	Yes	<p>Indicates whether the consolidated account (102S) is:</p> <ul style="list-style-type: none"> • Counterparty or customer reported for the first time • Re-submitted or modified Information for a previously reported 	N = New M = Modified	cftcBatch/cftcForm102@informationType

¹⁸ When reviewing the data elements in this Technical Document, reporting parties should also review and consult the OCR Final Rule, including the requirements of the reporting forms attached as an appendix thereto. The reporting forms are the basis for these data elements. Reporting parties should visit this link to view the OCR Final Rule on the Federal Register: <https://www.federalregister.gov/articles/2013/11/18/2013-26789/ownership-and-control-reports-forms-102102s-4040s-and-71>

Visit this link to view a pdf copy of the OCR Final Rule: <http://www.cftc.gov/ucm/groups/public/@Irfederalregister/documents/file/2013-26789a.pdf>

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				counterparty or customer		
2.	102S Counterparty Identifier	Question 2	Yes	A unique identifier for each reporting entity or counterparty/customer as assigned by the reporting entity		cftcBatch/cftcForm102/ relatedAccount @accountNumber
<u>3.</u>	<u>Special Account Indicator</u>	<u>Question 2</u>	<u>Yes</u>	<u>If the reporting entity currently identifies a counterparty via Section 102A of a Form 102, the identifier used on Section 102A of the Form 102 may also be used for the 102S identifier, as long as the same legal entity is referenced. Indicates if the same identifier is</u>	<u>Y = Yes</u> <u>N = No</u>	<u>cftcBatch/cftcForm102@isSpecialAccount</u>

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				being so used.		
<u>3.4.</u>	House or Customer Indicator	Question 3i	Yes	Consolidated account type	H = House C = Customer	cftcBatch/cftcForm102@accountClass
<u>4.5.</u>	Consolidated Account Omnibus Account Indicator	Question 3ii	Yes	Is the reportable consolidated account an omnibus account, or used to execute trades for an omnibus account	Y = Yes N = No	cftcBatch/cftcForm102/ relat edAccount @isOmnibus
<u>5.6.</u>	House or Customer Indicator	Question 3ii	Conditional. Required if isOmnibus = 'Y'	If the reported Consolidated Account is being reported as an Omnibus Account indicate whether the Volume Threshold Account Omnibus Account is a house or customer account	H = House C = Customer	cftcBatch/cftcForm102/ relat edAccount @accountClass

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				of the reporting firm		
CONSOLIDATED ACCOUNT OWNERSHIP AND CONTROL INFORMATION						
OMNIBUS ACCOUNT INFORMATION						
6-7.	Consolidated Account Omnibus Account Originator Indicator	Question 3ii	Conditional. Required if isOmnibus = 'Y' THEN isOriginator = 'Y'	Indicates reporting Consolidated Account Omnibus Account originator	Y = Yes N = No	cftcBatch/cftcForm102/ relatedAccount /relatedEntity@isOriginator
7-8.	Consolidated Account Omnibus Account Optional Fields or Supplemental Fields Reported to LEI Provider	Question 3ii	Conditional. Required if isOmnibus = 'Y'	Indicates that one or more "Optional Fields" or "Supplemental Fields" not included in this question were reported to the CICI Utility (or other CFTC-approved LEI provider) and are associated with the LEI provided	Y = Yes N = No	cftcBatch/cftcForm102/ relatedAccount /relatedEntity@OptionalOrSuppFieldsSeparatelyReported

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				in this submission		
8.9.	Consolidated Account Omnibus Account Entity Type	Question 3ii	Yes, entityType='LE'		LE=Legal Entity	cftcBatch/cftcForm102/ relatedAccount /relatedEntityType
9.10.	Consolidated Account Omnibus Account Originator Name	Question 3ii	Conditional. Required if isOmnibus = 'Y' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Name of the reportable account Originator		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@legalEntityName
10.11	Consolidated Account Omnibus Account Originator Street Address	Question 3ii	Conditional. Required if isOmnibus = 'Y' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Street address of the reportable account Originator		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@street
11.12	Consolidated Account Omnibus Account	Question 3ii	Conditional. Required if information available	Suite of the reportable account Originator		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@suite

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Originator Suite		AND isOmnibus = 'Y' AND OptionalOrSupp FieldsSeparately Reported = 'N'			
12,13	Consolidated Account Omnibus Account Originator City	Question 3ii	Conditional. Required if isOmnibus = 'Y' AND OptionalOrSupp FieldsSeparately Reported = 'N'	City of the reportable account Originator		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@city
13,14	Consolidated Account Omnibus Account Originator State	Question 3ii	Conditional. Required if isOmnibus = 'Y' AND OptionalOrSupp FieldsSeparately Reported = 'N'	State of the reportable account Originator <u>ISO 3166-2 geopolitical subdivision code: 1-3 alphanumeric characters</u>		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@state
14,15	Consolidated Account Omnibus Account Originator Country	Question 3ii	Conditional. Required if isOmnibus = 'Y' AND OptionalOrSupp FieldsSeparately	Country of the reportable account Originator <u>ISO 3166-1 alpha-2 country code</u>		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@country

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			Reported = 'N'			
15 <u>16</u>	Consolidated Account Omnibus Account Originator Zip/Postal Code	Question 3ii	Conditional. Required if isOmnibus = 'Y' AND OptionalOrSupp FieldsSeparately Reported = 'N'	Zip/Postal code of the reportable account Originator		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@postalCode
16 <u>17</u>	Consolidated Account Omnibus Account Originator Phone Number	Question 3ii	Conditional. Required if isOmnibus = 'Y' AND OptionalOrSupp FieldsSeparately Reported = 'N'	Phone Number of the reportable account Originator		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@telephone
17 <u>18</u>	Consolidated Account Omnibus Account Originator Contact Last Name	Question 3ii	Conditional. Required if isOmnibus = 'Y' AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported = 'N'	Surname of the natural person contact for the Originator		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@lastName
18 <u>19</u>	Consolidated Account	Question 3ii	Conditional. Required if	First name of the natural person		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/con

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Omnibus Account Originator Contact First Name		isOmnibus = 'Y' AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported = 'N'	contact for the Originator		tact@firstName
19,20	Consolidated Account Omnibus Account Contact Middle Name	Question 3ii	Conditional. Required if information available AND isOmnibus = 'Y' AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported = 'N'	Middle name of the natural person contact for the Originator		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@middleName
20,21	Consolidated Account Omnibus Account Contact Suffix	Question 3ii	Conditional. Required if information available AND isOmnibus = 'Y' AND entityType='LE' AND OptionalOrSupp	Suffix of the natural person contact for the Originator		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@nameSuffix

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			FieldsSeparately Reported = 'N'			
21-22	Consolidated Account Omnibus Account Originator Contact Job Title	Question 3ii	Conditional. Required if isOmnibus = 'Y' AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported = 'N'	Job title of the contact person for the Originator entity		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@titleOrPosition
22-23	Contact Relationship to Consolidated Account Omnibus Account Originator	Question 3ii	Conditional, ifConditional. Required if isOmnibus = 'Y' AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported = 'N'	Contact relationship to the Originator entity		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@relationship
23-24	Consolidated Account Omnibus Account Originator Contact	Question 3ii	Conditional. Required if isOmnibus = 'Y' AND entityType='LE' AND	Phone number of the contact person for the Originator entity		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@telephone

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Phone Number		OptionalOrSupp FieldsSeparately Reported = 'N'			
24,25	Consolidated Account Omnibus Account Originator Contact Email Address	Question 3ii	Conditional. Required if isOmnibus = 'Y' AND entityType = 'LE' AND OptionalOrSupp FieldsSeparately Reported = 'N'	Email address of the contact person for the Originator entity		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@email
25,26	Consolidated Account Omnibus Account Originator Website	Question 3ii	Conditional. Required if information available AND isOmnibus = 'Y' AND entityType = 'LE' AND OptionalOrSupp FieldsSeparately Reported = 'N'	URL of the Originator's website		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@website
26,27	Consolidated Account Omnibus Account Originator	Question 3ii	Conditional. Required if information available AND isOmnibus = 'Y'	The identification number given to the Originator entity by the		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@NFAIdentifier

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	NFA ID		AND OptionalOrSupp FieldsSeparately Reported='N'	National Futures Association		
27,28	Consolidated Account Omnibus Account Originator Legal Entity Identifier (LEI)	Question 3ii	Conditional. Required if information available AND isOmnibus='Y' AND OptionalOrSupp FieldsSeparately Reported='Y'	The legal entity identifier (LEI) assigned to the Originator entity by the LEI issuer		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@legalEntityIdentifier
CONSOLIDATED ACCOUNT OWNER(S)						
28,29	Consolidated Account Owner Indicator	Question 3iii	Conditional. Required if isOmnibus='N' THEN isOwner='Y'	Indicates reportable Consolidated account owner	Y = Yes N = No	cftcBatch/cftcForm102/ relatedAccount /relatedEntity@isOwner
29,30	Consolidated Account Owner Type Indicator	Question 3iii	Conditional. Required if isOmnibus='N' AND isOwner='Y'	Indicates whether the Consolidated account owner is a legal entity or natural person	LE = Legal Entity NP = Natural Person	cftcBatch/cftcForm102/ relatedAccount /relatedEntity@entityType

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
30 31	Consolidated Account Owner Optional Fields or Supplemental Fields Reported to LEI Provider	Question 3iii	Conditional. Required if isOmnibus='N' AND isOwner='Y'	Indicates that one or more "Optional Fields" or "Supplemental Fields" not included in this question were reported to the CICI Utility (or other CFTC-approved LEI provider) and are associated with the LEI provided in this submission	Y = Yes N = No	cftcBatch/cftcForm102/ relatedAccount /relatedEntity@OptionalOrSuppFieldsSeparatelyReported
IF CONSOLIDATED ACCOUNT OWNER IS A LEGAL ENTITY						
31 32	Consolidated Account Owner Legal Entity Name	Question 3iii	Conditional. Required if isOmnibus='N' AND isOwner='Y' AND entityType='LE' AND OptionalOrSupp	Legal or registered name of the reportable account owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@legalEntityName

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			FieldsSeparately Reported='N'			
IF CONSOLIDATED ACCOUNT OWNER IS A NATURAL PERSON						
32 33	Consolidated Account Owner Last Name	Question 3iii	Conditional. Required if isOmnibus='N' AND isOwner='Y' AND entityType='NP' AND OptionalOrSupp FieldsSeparately Reported='N'	Surname of the natural person reportable account owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @lastName
33 34	Consolidated Account Owner First Name	Question 3iii	Conditional. Required if isOmnibus='N' AND isOwner='Y' AND entityType='NP' AND OptionalOrSupp FieldsSeparately Reported='N'	Given or first in order name of the natural person reportable account owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @firstName

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
34 35	Consolidated Account Owner Middle Name	Question 3iii	Conditional. Required if information available AND isOmnibus='N' AND isOwner='Y' AND entityType='NP' AND OptionalOrSupp FieldsSeparately Reported='N'	Middle name of the natural person reportable account owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @middleName
35 36	Consolidated Account Owner Suffix	Question 3iii	Conditional. Required if information available AND isOmnibus='N' AND isOwner='Y' AND entityType='NP' AND OptionalOrSupp FieldsSeparately Reported='N'	Suffix of the natural person reportable account owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @nameSuffix

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
FOR BOTH LEGAL ENTITIES AND NATURAL PERSONS						
36-37	Consolidated Account Owner Street Address	Question 3iii	Conditional. Required if isOmnibus='N' AND isOwner='Y' AND OptionalOrSupp FieldsSeparately Reported='N'	Street address of the reportable account owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@street
37-38	Consolidated Account Owner Suite	Question 3iii	Conditional. Required if isOmnibus='N' AND isOwner='Y' AND OptionalOrSupp FieldsSeparately Reported='N'	Suite of the reportable account owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@suite
38-39	Consolidated Account Owner City	Question 3iii	Conditional. Required if isOmnibus='N' AND isOwner='Y' AND OptionalOrSupp	City of the reportable account owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@city

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			FieldsSeparately Reported='N'			
39-40	Consolidated Account Owner State	Question 3iii	Conditional. Required if isOmnibus='N' AND isOwner='Y' AND OptionalOrSupp FieldsSeparately Reported='N'	State of the reportable account owner ISO 3166-2 geopolitical subdivision code; 1-3 alphanumeric characters		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @state
40-41	Consolidated Account Owner Country	Question 3iii	Conditional. Required if isOmnibus='N' AND isOwner='Y' AND OptionalOrSupp FieldsSeparately Reported='N'	Country of the reportable account owner ISO 3166-1 alpha-2 country code		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @country
41-42	Consolidated Account Owner Zip/Postal Code	Question 3iii	Conditional. Required if isOmnibus='N' AND isOwner='Y' AND OptionalOrSupp	Zip/Postal code of the reportable account owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @postalCode

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			FieldsSeparately Reported='N'			
42-43	Consolidated Account Owner Phone Number	Question 3iii	Conditional. Required if isOmnibus='N' AND isOwner='Y' AND OptionalOrSupp FieldsSeparately Reported='N'	Phone Number of the reportable account owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@telephone
IF CONSOLIDATED ACCOUNT OWNER IS A NATURAL PERSON						
43-44	Consolidated Account Owner Email Address	Question 3iii	Conditional. Required if isOmnibus='N' AND isOwner='Y' AND entityType='NP' AND OptionalOrSupp FieldsSeparately Reported='N'	Email address of the reportable account owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@email
IF CONSOLIDATED ACCOUNT OWNER IS A LEGAL ENTITY						

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
44.45	Consolidated Account Owner Contact Last Name	Question 3iii	Conditional. Required if isOmnibus='N' AND isOwner='Y' AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported='N'	Surname of the contact person for the owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@lastName
45.46	Consolidated Account Owner Contact First Name	Question 3iii	Conditional. Required if isOmnibus='N' AND isOwner='Y' AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported='N'	First name of the contact person for the owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@firstName
46.47	Consolidated Account Owner Contact Middle Name	Question 3iii	Conditional. Required if information available AND isOmnibus='N' AND	Middle name of the contact person for the owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@middleName

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			isOwner='Y' AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported='N'			
47.48	Consolidated Account Owner Contact Suffix	Question 3iii	Conditional. Required if information available AND isOmnibus='N' AND isOwner='Y' AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported='N'	Suffix of the contact person for the owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity /contact@nameSuffix
48.49	Consolidated Account Owner Contact Job Title	Question 3iii	Conditional. Required if isOmnibus='N' AND isOwner='Y' AND entityType='LE' AND	Job title of the contact person for the ownership entity		cftcBatch/cftcForm102/ relatedAccount /relatedEntity /contact@titleOrPosition

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			OptionalOrSupp FieldsSeparately Reported='N'			
49 <u>50</u>	Contact Relationship to Consolidated Account Owner	Question 3iii	Conditional. Required if isOmnibus='N' AND isOwner='Y' AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported='N'	Contact relationship to the ownership entity		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@relationship
50 <u>51</u>	Consolidated Account Owner Contact Phone Number	Question 3iii	Conditional. Required if isOmnibus='N' AND isOwner='Y' AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported='N'	Phone number of the contact person for the ownership entity		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@telephone
51 <u>52</u>	Consolidated Account Owner	Question 3iii	Conditional. Required if isOmnibus='N'	Email address of the contact person for the		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@email

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Contact Email Address		AND isOwner='Y' AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported='N'	ownership entity		
52-53	Consolidated Account Owner Website	Question 3iii	Conditional. Required if information available AND isOmnibus='N' AND isOwner='Y' AND OptionalOrSupp FieldsSeparately Reported='N'	URL of the owner's website		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @website
53-54	Consolidated Account Owner NFA ID	Question 3iii	Conditional. Required if information available AND isOmnibus='N' AND isOwner='Y' AND OptionalOrSupp	The identification number given to the ownership entity by the National Futures Association		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @NFAIdentifier

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			FieldsSeparately Reported='N'			
54-55	Consolidated Account Owner Legal Entity Identifier (LEI)	Question 3iii	Conditional. Required if information available AND isOmnibus='N' AND isOwner='Y' AND OptionalOrSupp FieldsSeparately Reported ='Y'	The legal entity identifier (LEI) assigned to the ownership entity by the LEI issuer		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@legalEntityIdentifier
CONSOLIDATED ACCOUNT CONTROLLER(S)						
55-56	Consolidated Account Controller Indicator	Question 3iv	Conditional. Required if isOmnibus='N' THEN isController='Y'	Indicates reporting Consolidated account Controller	Y = Yes N = No	cftcBatch/cftcForm102/ relatedAccount /relatedEntity@isController
56-57	Consolidated Account Controller Entity Type	Question 3iv	Conditional. Required if isOmnibus='N' AND isController='Y'		LE = Legal Entity NP = Natural Person	cftcBatch/cftcForm102/ relatedAccount /relatedEntity@entityType
57-58	Consolidated Account	Question 3iv	Conditional. Required if	Indicates that one or more	Y = Yes N = No	cftcBatch/cftcForm102/ relatedAccount /relatedEntity

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Controller Optional Fields or Supplemental Fields Reported to LEI Provider		isOmnibus='N' AND isController='Y'	"Optional Fields" or "Supplemental Fields" not included in this question were reported to the CICI Utility (or other CFTC-approved LEI provider) and are associated with the LEI provided in this submission		@OptionalOrSuppFieldsSeparatelyReported
IF CONSOLIDATED ACCOUNT CONTROLLER IS A LEGAL ENTITY						
58.59	Consolidated Account Controller Legal Entity Name	Question 3iv	Conditional. Required if isOmnibus='N' AND isController='Y' AND entityType='LE' AND OptionalOrSuppFieldsSeparatelyReported='N'	Legal or registered name of the reportable account Controller		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@legalEntityName

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
IF CONSOLIDATED ACCOUNT CONTROLLER IS A NATURAL PERSON						
59-60	Consolidated Account Controller Natural Person Last Name	Question 3iv	Conditional. Required if isOmnibus='N' AND isController='Y' AND OptionalOrSupp FieldsSeparately Reported='N'	Surname of the natural person reportable account Controller		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@lastName
60-61	Consolidated Account Controller Natural Person First Name	Question 3iv	Conditional. Required if isOmnibus='N' AND isController='Y' AND OptionalOrSupp FieldsSeparately Reported='N'	Given or first in order name of the natural person reportable account Controller		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@firstName
61-62	Consolidated Account Controller Natural Person Middle Name	Question 3iv	Conditional. Required if information available AND isOmnibus='N' AND isController='Y'			cftcBatch/cftcForm102/ relatedAccount /relatedEntity@middleName

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			AND OptionalOrSupp FieldsSeparately Reported='N'			
62 <u>63</u>	Consolidated Account Controller Natural Person Suffix	Question 3iv	Conditional. Required if information available ANDisOmnibus='N' AND isController='Y' AND OptionalOrSupp FieldsSeparately Reported='N'			cftcBatch/cftcForm102/ relatedAccount /relatedEntity @nameSuffix
FOR BOTH LEGAL ENTITIES AND NATURAL PERSONS						
63 <u>64</u>	Consolidated Account Controller Street Address	Question 3iv	Conditional. Required if isOmnibus='N' AND isController='Y' AND OptionalOrSupp FieldsSeparately Reported='N'	Street address of the reportable account Controller		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @street

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
64-65	Consolidated Account Controller Suite	Question 3iv	Conditional. Required if information available AND isOmnibus='N' AND isController='Y' AND OptionalOrSupp FieldsSeparately Reported='N'	Suite of the reportable account Controller		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @suite
65-66	Consolidated Account Controller City	Question 3iv	Conditional. Required if isOmnibus='N' AND isController='Y' AND OptionalOrSupp FieldsSeparately Reported='N'	City of the reportable account Controller		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @city
66-67	Consolidated Account Controller State	Question 3iv	Conditional. Required if isOmnibus='N' AND isController='Y' AND OptionalOrSupp FieldsSeparately	State of the reportable account Controller <u>ISO 3166-2 geopolitical subdivision code; 1-3 alphanumeric</u>		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @state

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			Reported='N'	characters		
67-68	Consolidated Account Controller Country	Question 3iv	Conditional. Required if isOmnibus='N' AND isController='Y'	Country of the reportable account Controller ISO 3166-1 alpha-2 country code		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @country
68-69	Consolidated Account Controller Zip/Postal Code	Question 3iv	Conditional. Required if isOmnibus='N' AND isController='Y' AND OptionalOrSupp FieldsSeparately Reported='N'	Zip/Postal code of the reportable account Controller		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @postalCode
69-70	Consolidated Account Controller Phone Number	Question 3iv	Conditional. Required if isOmnibus='N' AND isController='Y' AND OptionalOrSupp FieldsSeparately Reported='N'	Phone Number of the reportable account Controller		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @telephone

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
70 .71	Consolidated Account Controller Email Address	Question 3iv	Conditional. Required if isOmnibus='N' AND isController='Y' AND OptionalOrSupp FieldsSeparately Reported='N'	Email address of the reportable account Controller		cftcBatch/cftcForm102/ relatedAccount /relatedEntity @email
IF CONSOLIDATED ACCOUNT CONTROLLER IS A LEGAL ENTITY						
71 .72	Consolidated Account Controller Contact Last Name	Question 3iv	Conditional. Required if isOmnibus='N' AND isController='Y' AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported='N'	Surname of the contact person for the owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity /contact@lastName
72 .73	Consolidated Account Controller Contact First Name	Question 3iv	Conditional. Required if isOmnibus='N' AND isController='Y'	First name of the contact person for the owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity /contact@firstName

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported='N'			
73 ,74	Consolidated Account Controller Contact Middle Name	Question 3iv	Conditional. Required if information available ANDisOmnibus='N' AND isController ='Y' AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported='N'	Middle name of the contact person for the owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity /contact@middleName
74 ,75	Consolidated Account Controller Contact Suffix	Question 3iv	Conditional. Required if information available ANDisOmnibus='N' AND isController ='Y' AND entityType='LE'	Suffix of the contact person for the owner		cftcBatch/cftcForm102/ relatedAccount /relatedEntity /contact@nameSuffix

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			AND OptionalOrSupp FieldsSeparately Reported='N'			
75.76	Consolidated Account Controller Contact Job Title	Question 3iv	Conditional. Required if isOmnibus='N' AND isController='Y' AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported='N'	Job title of the contact person at or related to the controller entity		cftcBatch/cftcForm102/ relatedAccount /relatedEntity /contact@titleOrPosition
76.77	Contact Relationship to Consolidated Account Controller	Question 3iv	Conditional. Required if isOmnibus='N' AND isController='Y' AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported='N'	Contact relationship to controller entity		cftcBatch/cftcForm102/ relatedAccount /relatedEntity /contact@relationship

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
77-78	Consolidated Account Controller Contact Phone Number	Question 3iv	Conditional. Required if isOmnibus='N' AND isController='Y' AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported='N'	Phone number of the contact person for the controller entity		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@telephone
78-79	Consolidated Account Controller Contact Email Address	Question 3iv	Conditional. Required if isOmnibus='N' AND isController='Y' AND entityType='LE' AND OptionalOrSupp FieldsSeparately Reported='N'	Email address of the contact person for the controller entity		cftcBatch/cftcForm102/ relatedAccount /relatedEntity/contact@email
79-80	Consolidated Account Controller NFA ID	Question 3iv	Conditional. Required if information available AND isOmnibus='N' AND	The identification number given to the controller entity by the National Futures		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@NFAIdentifier

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			isController = 'Y' AND OptionalOrSuppFieldsSeparatelyReported = 'N'	Association		
80-81	Consolidated Account Controller Legal Entity Identifier (LEI)	Question 3iv	Conditional. Required if information available AND isOmnibus = 'N' AND isController = 'Y' AND OptionalOrSuppFieldsSeparatelyReported = 'Y'	The legal entity identifier (LEI) assigned to the controller entity by the LEI issuer		cftcBatch/cftcForm102/ relatedAccount /relatedEntity@legalEntityIdentifier
81-82	Paired Swap Indicator	Question 4	Yes	Indicates if response is related to paired swap activity		cftcBatch/cftcForm102/ relatedAccount /pairedSwapOrSwaptionActivity@isSwap
82-83	Paired Swaption Indicator	Question 4	Yes	Indicates if response is related to paired swaption activity		cftcBatch/cftcForm102/ relatedAccount /pairedSwapOrSwaptionActivity@isSwaption
83-84	Paired Swaps and	Question 4	Yes	Description of the nature of the		cftcBatch/cftcForm102/ relatedAccount /pairedSwap

	Data Element	Form 102S Question Number	Required	CFRC Description, Purpose or Instruction	Valid Values	XML
	Swaptions Market Activity			counterparty's or customer's paired swaps and swaptions market activity		OrSwaptionActivity@description
84 <u>85</u>	Reporting Firm Authorization Indicator	Signature/Authentication	Yes	Indicates if the submitter is duly authorized by the reporting firm to provide the information and representations submitted on this Form 102, and that information and representations are true and correct	Y = authorized N = not authorized	cftcBatch/cftcForm102/contact@isAuthorizedRepresentative
85 <u>86</u>	Authorized Representative Last Name	Signature/Authentication	Yes	Surname of the authorized representative		cftcBatch/cftcForm102/contact@lastName
86 <u>87</u>	Authorized Representative First Name	Signature/Authentication	Yes	Given or first in order name of the authorized representative		cftcBatch/cftcForm102/contact@firstName

	Data Element	Form 102S Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
87 <u>88</u>	Authorized Representative Middle Name	Signature/Authentication	Yes	Middle name of the authorized representative		cftcBatch/cftcForm102/contact@middleName
88 <u>89</u>	Authorized Representative Name Suffix	Signature/Authentication	Yes	Generation or name suffix of the authorized representative		cftcBatch/cftcForm102/contact@nameSuffix
89 <u>90</u>	Authorized Representative Position	Signature/Authentication	Yes	Job position of the authorized representative		cftcBatch/cftcForm102/contact@titleOrPosition
90 <u>91</u>	Authorized Representative Submitted on behalf of	Signature/Authentication	Yes	Reporting Firm Name 102 was submitted on behalf of		cftcBatch/cftcForm102@onBehalfOf
91 <u>92</u>	Date of Submission	Signature/Authentication	Yes	Date [indicated by the authorized representative] that the form was submitted to CFTC		cftcBatch/cftcForm102@submitDate

Data Dictionary for Form 71 – Identification of omnibus accounts and sub-accounts¹⁹

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
1.	Form Number		Yes		71	cftcBatch/cftcForm71@formNumber
2.	Acknowledgment of Definitions Indicator	Acknowledgement of Definitions	Yes	Indicates whether the submitter acknowledged reading a list of terms used in the form	Y = Yes N = No	cftcBatch/cftcForm71@acknowledgeDefinitions
3.	New/Modified/Correction Indicator		Yes	Indicates whether the omnibus account is: <ul style="list-style-type: none"> • New and being reported for the first time on a Form 71 • Modified 	N = new M = modified C = corrected	cftcBatch/cftcForm71@informationType

¹⁹ When reviewing the data elements in this Technical Document, reporting parties should also review and consult the OCR Final Rule, including the requirements of the reporting forms attached as an appendix thereto. The reporting forms are the basis for these data elements. Reporting parties should visit this link to view the OCR Final Rule on the Federal Register: <https://www.federalregister.gov/articles/2013/11/18/2013-26789/ownership-and-control-reports-forms-102102s-4040s-and-71>

Visit this link to view a pdf copy of the OCR Final Rule: <http://www.cftc.gov/ucm/groups/public/@lrfederalregister/documents/file/2013-26789a.pdf>

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				<ul style="list-style-type: none"> - previously reported on a Form 71 and being re-submitted because something has changed • Corrected <ul style="list-style-type: none"> - being reported in order to correct previously-submitted erroneous data 		
4.	Account Number ²⁰	Section A	Yes	Account number of the omnibus		cftcBatch/cftcForm71@accountNumber

²⁰ For all fields in section A and B of Form 71 that are marked as auto-populated in the reporting forms that appear as an appendix to the OCR Final Rule, the CFTC will provide these fields to FTP-based reporting parties in an email or other transmission. Reporting parties should incorporate these fields in their FTP submission.

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				volume threshold account (from Form 102B) or omnibus reportable sub-account (from Form 71) as identified on the referenced forms		
5.	Form Type Origination	Section A	Yes	Form type of the form which identified the omnibus volume threshold account (Form 102B) or omnibus reportable sub-account (Form 71)	102B = Form 102B 71 = Form 71	cftcBatch/cftcForm71@originalFormNumber
6.	Name of Identifying Entity	Section A	Yes	Name of the clearing member (if Form 102B) or preceding originator (if Form 71) that identified the omnibus volume threshold account or omnibus		

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				reportable sub-account, respectively		
7.	Reporting Market	Section A	Yes	The reporting contract market on which the identified account is traded		cftcBatch/cftcForm71@marketId
8.	Entity Type Indicator	Section A	Yes		LE=Legal Entity	cftcBatch/cftcForm71@entityType
9.	Name of Originator	Section A	Yes			cftcBatch/cftcForm71@legalEntityName
10.	Originator Street Address	Section A	Yes	Street Address of the omnibus account originator as indicated on the Form 102B or Form 71		cftcBatch/cftcForm71@street
11.	Originator Suite	Section A	Conditional. Required if information available			cftcBatch/cftcForm71@suite
12.	Originator City	Section A	Yes	City of the omnibus account originator as indicated on the Form 102B or		cftcBatch/cftcForm71@city

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				Form 71		
13.	Originator State	Section A	Yes	State of the omnibus account originator ISO 3166-2 geopolitical subdivision code; 1-3 alphanumeric characters, as indicated on the Form 102B or Form 71		cftcBatch/cftcForm71@state
14.	Originator Country	Section A	Yes	Country of the omnibus account originator ISO 3166-1 alpha-2 country code, as indicated on the Form 102B or Form 71		cftcBatch/cftcForm71@country
15.	Originator Zip/Postal Code	Section A	Yes	Zip Code or Postal Code of the omnibus account originator as indicated on the Form 102B or Form 71		cftcBatch/cftcForm71@postalCode

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	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
16.	Originator Phone Number	Section A	Yes	Phone Number of the omnibus account originator as indicated on the Form 102B or Form 71		cftcBatch/cftcForm71@telephone
17.	Originator Contact Last Name	Section A	Yes	Contact surname for the omnibus account originator as indicated on the Form 102B or Form 71		cftcBatch/cftcForm71/contact@lastName
18.	Originator Contact Middle Name	Section A	Conditional. Required if information available			cftcBatch/cftcForm71/contact@middleName
19.	Originator Contact First Name	Section A	Yes	Contact first in order name for the omnibus account originator as indicated on the Form 102B or Form 71		cftcBatch/cftcForm71/contact@firstName
20.	Originator Contact Suffix	Section A	Conditional. Required if information			cftcBatch/cftcForm71/contact@nameSuffix

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			available			
21.	Originator Contact Job Title	Section A	Yes	Job Title of the Contact for the omnibus account originator as indicated on the Form 102B or Form 71		cftcBatch/cftcForm71/contact@titleOrPosition
22.	Contact Relationship to Originator	Section A	Yes	Contact relationship to the originator		cftcBatch/cftcForm71/contact@relationship
23.	Originator Contact Phone Number	Section A	Yes	Phone Number of the Contact for the omnibus account originator as indicated on the Form 102B or Form 71		cftcBatch/cftcForm71/contact@telephone
24.	Originator Contact Email Address	Section A	Yes	Email Address of the Contact for the omnibus account originator as indicated on the Form 102B or Form 71		cftcBatch/cftcForm71/contact@email

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
25.	Originator Website	Section A	Conditional. Required if information available	URL of the website of the omnibus account originator		cftcBatch/cftcForm71@website
26.	Originator NFA ID	Section A	Conditional. Required if information available	The identification number given to the originator by the National Futures Association		cftcBatch/cftcForm71@NFAIdentifier
27.	Originator Legal Entity Identifier (LEI)	Section A	Conditional. Required if information available	The legal entity identifier (LEI) assigned to the originator by the LEI issuer		cftcBatch/cftcForm71@legalEntityIdentifier
28.	Allocation of Trades Indicator	Section B – Question 1	Yes	Indicates if the originator allocated trades from the specified omnibus account on the specified date on the specified reporting market	Y = trades were allocated N = trades were not allocated	cftcBatch/cftcForm71@tradesAllocated
29.	Sum of Allocations Reportable Trading	Section B – Question 2	Yes	For cases where trades were allocated, indicates whether	Y = resulted in reportable trading volume N = did not result	cftcBatch/cftcForm71@isReportable

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Volume for Recipient Account Indicator			the sum of allocations resulted in reportable trading volume for a recipient account on the specified date on the specified reporting market	in reportable trading volume	
REPORTABLE SUB-ACCOUNT OWNERSHIP AND CONTROL INFORMATION						
OMNIBUS REPORTABLE SUB-ACCOUNT INFORMATION						
30.	Reportable Sub-Account Number	Question 3	Conditional. Required if isReportable='Y' AND tradesAllocated='Y'			cftcBatch/cftcForm71/relatedAccount@accountNumber
31.	Reportable Sub-Account Omnibus Account Indicator	Question 3ai	Conditional. Required if isReportable='Y' AND tradesAllocated='Y'	Is the Reportable Sub-Account an omnibus account	Y = Yes N = No	cftcBatch/cftcForm71/relatedAccount@isOmnibus
32.	House or Customer Indicator	Question 3aii	Conditional. Required if isReportable='Y'	If the reported Reportable Sub-Account is being	H = House C = Customer	cftcBatch/cftcForm71/relatedAccount@accountClass

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			AND tradesAllocated='Y' AND isOmnibus ='Y'	reported as an Omnibus Account indicate whether the Reportable Sub-Account Omnibus Account is a house or customer account of the reporting firm		
33.	Reportable Sub-Account Omnibus Account Originator Indicator	Question 3a ii	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus ='Y' THEN isOriginator = 'Y'	Indicates reporting Volume Threshold Account Omnibus Account orginator	Y = Yes N = No	cftcBatch/ cftcForm71/relatedAccount/ relatedEntity@isOriginator
34.	Reportable Sub-Account Omnibus Account Entity Type	Question 3a ii	Yes		LE=Legal Entity	cftcBatch/ cftcForm71/relatedAccount/ relatedEntity@entityType
35.	Reportable Sub-Account	Question 3a ii	Conditional. Required if	Name of the reportable		cftcBatch/ cftcForm71/relatedAccount/

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Omnibus Account Originator Name		isReportable='Y' AND tradesAllocated='Y' AND isOmnibus ='Y'	account Originator		relatedEntity@legalEntityName
36.	Reportable Sub-Account Omnibus Account Originator Street Address	Question 3a ii	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus ='Y'	Street address of the reportable account Originator		cftcBatch/ cftcForm71/relatedAccount/ relatedEntity@street
37.	Reportable Sub-Account Omnibus Account Originator Suite	Question 3a ii	Conditional. Required if information available AND isReportable='Y' AND tradesAllocated='Y' AND isOmnibus ='Y'			cftcBatch/ cftcForm71/relatedAccount/ relatedEntity@suite
38.	Reportable Sub-Account Omnibus Account Originator City	Question 3a ii	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus ='Y'	City of the reportable account Originator		cftcBatch/ cftcForm71/relatedAccount/ relatedEntity@city

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
39.	Reportable Sub-Account Omnibus Account Originator State	Question 3aii	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus ='Y'	State of the reportable account Originator <u>ISO 3166-2 geopolitical subdivision code; 1-3 alphanumeric characters</u>		cftcBatch/ cftcForm71/relatedAccount/ relatedEntity@state
40.	Reportable Sub-Account Omnibus Account Originator Country	Question 3aii	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus ='Y'	Country of the reportable account Originator <u>ISO 3166-1 alpha-2 country code</u>		cftcBatch/ cftcForm71/relatedAccount/ relatedEntity@country
41.	Reportable Sub-Account Omnibus Account Originator Zip/Postal Code	Question 3aii	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus ='Y'	Zip/Postal code of the reportable account Originator		cftcBatch/ cftcForm71/relatedAccount/ relatedEntity@postalCode
42.	Reportable Sub-Account Omnibus Account Originator Phone	Question 3aii	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND	Phone Number of the reportable account Originator		cftcBatch/ cftcForm71/relatedAccount/ relatedEntity@telephone

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Number		isOmnibus =‘Y’			
43.	Reportable Sub-Account Omnibus Account Originator Contact Last Name	Question 3a ii	Conditional. Required if isReportable=‘Y’ AND tradesAllocated=‘Y’ AND isOmnibus =‘Y’ AND entityType=‘LE’	Surname of the contact person for the Originator		cftcBatch/ cftcForm71/relatedAccount/ relatedEntity/contact@lastName
44.	Reportable Sub-Account Omnibus Account Originator Contact First Name	Question 3a ii	Conditional. Required if isReportable=‘Y’ AND tradesAllocated=‘Y’ AND isOmnibus =‘Y’ AND entityType=‘LE’	First name of the contact person for the Originator		cftcBatch/ cftcForm71/relatedAccount/ relatedEntity/contact@firstName
45.	Reportable Sub-Account Omnibus Account Contact Middle Name	Question 3a ii	Conditional. Required if information available AND isReportable=‘Y’ AND tradesAllocated=‘Y’ AND isOmnibus =‘Y’	Middle name of the contact person for the Originator		cftcBatch/ cftcForm71/relatedAccount/ relatedEntity/contact@middleName

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			AND entityType='LE'			
46.	Reportable Sub-Account Omnibus Account Contact Suffix	Question 3a ii	Conditional. Required if information available AND isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='Y' AND entityType='LE'	Suffix of the contact person for the Originator		cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact@nameSuffix
47.	Reportable Sub-Account Omnibus Account Originator Contact Job Title	Question 3a ii	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='Y' AND entityType='LE'	Job title of the contact person for the Originator entity		cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact@titleOrPosition
48.	Contact Relationship to Reportable Sub-Account Omnibus Account Originator	Question 3a ii	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='Y'	Contact relationship to the Originator entity		cftcBatch/cftcForm71/relatedAccount/relatedEntity/contact@relationship

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			AND entityType='LE'			
49.	Reportable Sub-Account Omnibus Account Originator Contact Phone Number	Question 3a ii	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus = 'Y' AND entityType='LE'	Phone number of the contact person for the Originator entity		cftcBatch/ cftcForm71/relatedAccount/ relatedEntity/contact@telep hone
50.	Reportable Sub-Account Omnibus Account Originator Contact Email Address	Question 3a ii	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus = 'Y' AND entityType='LE'	Email address of the contact person for the Originator entity		cftcBatch/ cftcForm71/relatedAccount/ relatedEntity/contact@email
51.	Reportable Sub-Account Omnibus Account Originator Website	Question 3a ii	Conditional. Required if information available AND isReportable='Y' AND tradesAllocated='Y' AND isOmnibus = 'Y'	URL of the Originator's website		cftcBatch/ cftcForm71/relatedAccount/ relatedEntity@website

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			AND entityType='LE'			
52.	Reportable Sub-Account Omnibus Account Originator NFA ID	Question 3aii	Conditional. Required if information available AND isReportable='Y' AND tradesAllocated='Y' AND isOmnibus ='Y'	The identification number given to the Originator entity by the National Futures Association		cftcBatch/ cftcForm71/relatedAccount/ relatedEntity@NFAIdentifier
53.	Reportable Sub-Account Omnibus Account Originator Legal Entity Identifier (LEI)	Question 3aii	Conditional. Required if information available AND isReportable='Y' AND tradesAllocated='Y' AND isOmnibus ='Y'	The legal entity identifier (LEI) assigned to the Originator entity by the LEI issuer		cftcBatch/ cftcForm71/relatedAccount/ relatedEntity@legalEntityIdentifier
NON-OMNIBUS REPORTABLE SUB-ACCOUNT OWNER(S)						
54.	Reportable Sub-Account Owner Indicator	Question 3bi	Conditional. Required if isReportable='Y' AND	Indicates reporting Reportable Sub-Account account	Y = Yes N = No	cftcBatch/ cftcForm71/ relatedAccount/relatedEntity @isOwner

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			tradesAllocated='Y' AND isOmnibus='N' THEN isOwner='Y'	owner		
55.	Reportable Sub-Account Owner Type Indicator	Question 3bi	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isOwner='Y'	Indicates whether the Reportable Sub-Account owner is a legal entity or natural person	LE = Legal Entity NP = Natural Person	cftcBatch/ cftcForm71/ relatedAccount/relatedEntity @entityType
IF REPORTABLE SUB-ACCOUNT OWNER IS A LEGAL ENTITY						
56.	Reportable Sub-Account Owner Legal Entity Name	Question 3bi	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isOwner='Y' AND entityType='LE'	Legal or registered name of the reportable sub-account owner		cftcBatch/ cftcForm71/ relatedAccount/relatedEntity @legalEntityName

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
IF REPORTABLE SUB-ACCOUNT OWNER IS A NATURAL PERSON						
57.	Reportable Sub-Account Owner Last Name	Question 3bi	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isOwner='Y' AND entityType='NP'	Surname of the natural person reportable sub-account owner		cftcBatch/ cftcForm71/ relatedAccount/relatedEntity @lastName
58.	Reportable Sub-Account Owner First Name	Question 3bi	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isOwner='Y' AND entityType='NP'	Given or first in order name of the natural person reportable sub-account owner		cftcBatch/cftcForm71/ relatedAccount/relatedEntity @firstName
59.	Reportable Sub-Account Owner Middle	Question 3bi	Conditional. Required if information available AND	Middle name of the natural person reportable sub-account		cftcBatch/cftcForm71/ relatedAccount/relatedEntity @middleName

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Name		isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isOwner='Y' AND entityType='NP'	owner		
60.	Reportable Sub-Account Owner Suffix	Question 3bi	Conditional. Required if information available AND isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isOwner='Y' AND entityType='NP'	Suffix of the natural person reportable sub-account owner		cftcBatch/cftcForm71/relatedAccount/relatedEntity@nameSuffix
FOR BOTH LEGAL ENTITIES AND NATURAL PERSONS						
61.	Reportable Sub-Account Owner Street Address	Question 3bi	Conditional. Required if isReportable='Y' AND tradesAllocated='Y'	Street address of the reportable sub-account owner		cftcBatch/cftcForm71/relatedAccount/relatedEntity@street

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			'Y' AND isOmnibus='N' AND isOwner='Y'			
62.	Reportable Sub-Account Owner Suite	Question 3bi	Conditional. Required if information available AND isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isOwner='Y'	Suite of the reportable sub-account owner		cftcBatch/cftcForm71/relatedAccount/relatedEntity@suite
63.	Reportable Sub-Account Owner City	Question 3bi	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isOwner='Y'	City of the reportable sub-account owner		cftcBatch/cftcForm71/relatedAccount/relatedEntity@city
64.	Reportable Sub-Account Owner State	Question 3bi	Conditional. Required if isReportable='Y' AND tradesAllocated=	State of the reportable sub-account owner <u>ISO 3166-2 geopolitical</u>		cftcBatch/cftcForm71/relatedAccount/relatedEntity@state

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			'Y' AND isOmnibus='N' AND isOwner='Y'	<u>subdivision code;</u> <u>1-3 alphanumeric</u> <u>characters</u>		
65.	Reportable Sub-Account Owner Country	Question 3bi	Conditional. Required if isReportable='Y' AND tradesAllocated= 'Y' AND isOmnibus='N' AND isOwner='Y'	<u>Country of the</u> <u>reportable sub-</u> <u>account</u> <u>owner</u> <u>ISO 3166-</u> <u>1 alpha-2 country</u> <u>code</u>		cftcBatch/cftcForm71/ relatedAccount/relatedEntity @country
66.	Reportable Sub-Account Owner Zip/Postal Code	Question 3bi	Conditional. Required if isReportable='Y' AND tradesAllocated= 'Y' AND isOmnibus='N' AND isOwner='Y'	Zip/Postal code of the reportable sub-account owner		cftcBatch/cftcForm71/ relatedAccount/relatedEntity @postalCode
67.	Reportable Sub-Account Owner Phone Number	Question 3bi	Conditional. Required if isReportable='Y' AND tradesAllocated= 'Y' AND isOmnibus='N'	Phone Number of the reportable sub-account owner		cftcBatch/cftcForm71/ relatedAccount/relatedEntity @telephone

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			AND isOwner='Y'			
IF REPORTABLE SUB-ACCOUNT OWNER IS A NATURAL PERSON						
68.	Reportable Sub-Account Owner Email Address	Question 3bi	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isOwner='Y'	Email address of the reportable sub-account owner		cftcBatch/cftcForm71/ relatedAccount/relatedEntity @email
IF REPORTABLE SUB-ACCOUNT OWNER IS A LEGAL ENTITY						
69.	Reportable Sub-Account Owner Contact Last Name	Question 3bi	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isOwner='Y' AND entityType='LE'	Surname of the contact person for the owner		cftcBatch/cftcForm71/ relatedAccount/relatedEntity /contact@lastName

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
70.	Reportable Sub-Account Owner Contact First Name	Question 3bi	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isOwner='Y' AND entityType='LE'	First name of the contact person for the owner		cftcBatch/cftcForm71/relatedAccount/relatedEntity/contact@firstName
71.	Reportable Sub-Account Owner Contact Middle Name	Question 3bi	Conditional. Required if information available AND isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isOwner='Y' AND entityType='LE'	Middle name of the contact person for the owner		cftcBatch/cftcForm71/relatedAccount/relatedEntity/contact@middleName
72.	Reportable Sub-Account Owner Contact Suffix	Question 3bi	Conditional. Required if information available AND isReportable='Y'	Suffix of the contact person for the owner		cftcBatch/cftcForm71/relatedAccount/relatedEntity/contact@nameSuffix

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			AND tradesAllocated='Y' AND isOmnibus='N' AND isOwner='Y' AND entityType='LE'			
73.	Reportable Sub-Account Owner Contact Job Title	Question 3bi	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isOwner='Y' AND entityType='LE'	Job title of the contact person for the ownership entity		cftcBatch/cftcForm71/relatedAccount/relatedEntity/contact@titleOrPosition
74.	Contact Relationship to Reportable Sub-Account Owner	Question 3bi	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isOwner='Y' AND	Contact relationship to the ownership entity		cftcBatch/cftcForm71/relatedAccount/relatedEntity/contact@relationship

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			entityType='LE'			
75.	Reportable Sub-Account Owner Contact Phone Number	Question 3bi	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isOwner='Y' AND entityType='LE'	Phone number of the contact person for the ownership entity		cftcBatch/cftcForm71/relatedAccount/relatedEntity/contact@telephone
76.	Reportable Sub-Account Owner Contact Email Address	Question 3bi	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isOwner='Y' AND entityType='LE'	Email address of the contact person for the ownership entity		cftcBatch/cftcForm71/relatedAccount/relatedEntity/contact@email
77.	Reportable Sub-Account Owner Website	Question 3bi	Conditional. Required if information available AND isReportable='Y'	URL of the owner's website		cftcBatch/cftcForm71/relatedAccount/relatedEntity@website

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			AND tradesAllocated='Y' AND isOmnibus='N' AND isOwner='Y' AND entityType='LE'			
78.	Reportable Sub-Account Owner NFA ID	Question 3bi	Conditional. Required if information available AND isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isOwner='Y'	The identification number given to the ownership entity by the National Futures Association		cftcBatch/cftcForm71/relatedAccount/relatedEntity@NFAIdentifier
79.	Reportable Sub-Account Owner Legal Entity Identifier (LEI)	Question 3bi	Conditional. Required if information available AND isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND	The legal entity identifier (LEI) assigned to the ownership entity by the LEI issuer		cftcBatch/cftcForm71/relatedAccount/relatedEntity@legalEntityIdentifier

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			isOwner='Y'			
NON-OMNIBUS REPORTABLE SUB-ACCOUNT CONTROLLER(S)						
80.	Reportable Sub-Account Controller Indicator	Question 3bii	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' THEN isController='Y'	Indicates reportable sub-account controller	Y = Yes N = No	cftcBatch/cftcForm71/relatedAccount/relatedEntity@isController
81.	Reportable Sub-Account Controller Entity Type	Question 3bii	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isController='Y' THEN entityType='NP'	Reportable sub-account controller entity type	NP = Natural Person	cftcBatch/cftcForm71/relatedAccount/relatedEntity@entityType
82.	Reportable Sub-Account Controller Natural	Question 3bii	Conditional. Required if isReportable='Y' AND	Surname of the natural person reportable sub-account		cftcBatch/cftcForm71/relatedAccount/relatedEntity@lastName

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Person Last Name		tradesAllocated='Y' AND isOmnibus='N' AND isController='Y'	Controller		
83.	Reportable Sub-Account Controller Natural Person First Name	Question 3bii	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isController='Y'	Given or first in order name of the natural person reportable sub-account Controller		cftcBatch/cftcForm71/relatedAccount/relatedEntity@firstName
84.	Reportable Sub-Account Controller Natural Person Middle Name	Question 3bii	Conditional. Required if information available AND isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isController='Y'	Middle name of the natural person reportable sub-account Controller		cftcBatch/cftcForm71/relatedAccount/relatedEntity@middleName
85.	Reportable Sub-Account Controller	Question 3bii	Conditional. Required if information	Suffix of the natural person reportable sub-		cftcBatch/cftcForm71/relatedAccount/relatedEntity@nameSuffix

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Natural Person Suffix		available AND isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isController='Y'	account Controller		
86.	Reportable Sub-Account Controller Street Address	Question 3bii	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isController='Y'	Street address of the reportable sub-account Controller		cftcBatch/cftcForm71/relatedAccount/relatedEntity@street
87.	Reportable Sub-Account Controller Suite	Question 3bii	Conditional. Required if information available AND isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isController='Y'	Suite of the reportable sub-account Controller		cftcBatch/cftcForm71/relatedAccount/relatedEntity@suite

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
88.	Reportable Sub-Account Controller City	Question 3bii	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isController='Y'	City of the reportable sub-account Controller		cftcBatch/cftcForm71/relatedAccount/relatedEntity@city
89.	Reportable Sub-Account Controller State	Question 3bii	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isController='Y'	State of the reportable sub-account Controller <u>ISO 3166-2 geopolitical subdivision code; 1-3 alphanumeric characters</u>		cftcBatch/cftcForm71/relatedAccount/relatedEntity@state
90.	Reportable Sub-Account Controller Country	Question 3bii	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isController='Y'	Country of the reportable sub-account Controller <u>ISO 3166-1 alpha-2 country code</u>		cftcBatch/cftcForm71/relatedAccount/relatedEntity@country
91.	Reportable Sub-Account	Question 3bii	Conditional. Required if	Zip/Postal code of the reportable		cftcBatch/cftcForm71/relatedAccount/relatedEntity

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Controller Zip/Postal Code		isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isController='Y'	sub-account Controller		@postalCode
92.	Reportable Sub-Account Controller Phone Number	Question 3bii	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isController='Y'	Phone Number of the reportable sub-account Controller		cftcBatch/cftcForm71/ relatedAccount/relatedEntity @telephone
93.	Reportable Sub-Account Controller Name of Employer	Question 3bii	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isController='Y'			cftcBatch/cftcForm71/ relatedAccount/relatedEntity @employerName
94.	Reportable Sub-Account Controller Job Title	Question 3bii	Conditional. Required if isReportable='Y' AND	Job title of the contact person for the Controller entity		cftcBatch/cftcForm71/ relatedAccount/relatedEntity @titleOrPosition

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			tradesAllocated='Y' AND isOmnibus='N' AND isController='Y'			
95.	Relationship to Reportable Sub-Account Owner	Question 3bii	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isController='Y'	Contact relationship to the Owner entity		cftcBatch/cftcForm71/ relatedAccount/relatedEntity @relationship
96.	Reportable Sub-Account Controller Email Address	Question 3bii	Conditional. Required if isReportable='Y' AND tradesAllocated='Y' AND isOmnibus='N' AND isController='Y'	Email address of the reportable sub-account Controller		cftcBatch/cftcForm71/ relatedAccount/relatedEntity @email
97.	Reportable Sub-Account Controller NFA ID	Question 3bii	Conditional. Required if information available AND isReportable='Y' AND	The identification number given to the Controller entity by the National Futures Association		cftcBatch/cftcForm71/ relatedAccount/relatedEntity @NFAIdentifier

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			tradesAllocated='Y' AND isOmnibus='N' AND isController='Y'			
98.	Originator Authorization Indicator	Section C	Yes	Indicates if the submitter is duly authorized by the relevant originator (as specified on the Form 102B or Form 71), to provide the information and representations submitted on this Form 71, and that information and representations are true and correct	Y = authorized N = not authorized	cftcBatch/cftcForm71/contact@isAuthorizedRep
99.	Authorized Representative Last Name	Section C	Yes	Surname of the authorized representative		cftcBatch/cftcForm71/contact@lastName
100.	Authorized Representative First	Section C	Yes	Given or first in order name of the authorized		cftcBatch/cftcForm71/contact@firstName

	Data Element	Form 71 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Name			representative		
101.	Authorized Representative Middle Name	Section C	Yes	Middle name of the authorized representative		cftcBatch/cftcForm71/contact@middleName
102.	Authorized Representative Name Suffix	Section C	Yes	Generation or name suffix of the authorized representative		cftcBatch/cftcForm71/contact@nameSuffix
103.	Authorized Representative Position	Section C	Yes	Job position of the authorized representative		cftcBatch/cftcForm71/contact@titleOrPosition
104.	Date of Submission	Section C	Yes	Date [indicated by the authorized representative] that the form was submitted to CFTC		cftcBatch/cftcForm71@submitDate

Data Dictionary for Form 40 – Statement of reporting trader²¹

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
1.	Form Number		Yes		40	cftcBatch/cftcForm40@formNumber
2.	Acknowledgment of Definitions Indicator	Section – Acknowledgement of Definitions	Yes	Indicates whether the submitter acknowledged reading a list of terms used in the form	Y = Yes N = No	cftcBatch/cftcForm40@acknowledgeDefinitions
3.	New/Modified/Correction Indicator		Yes	Indicates whether the reportable trader is: <ul style="list-style-type: none"> New and being reported for the first time on a Form 40 Modified 	N = New M = Modified C = Corrected	cftcBatch/cftcForm40@informationType

²¹ When reviewing the data elements in this Technical Document, reporting parties should also review and consult the OCR Final Rule, including the requirements of the reporting forms attached as an appendix thereto. The reporting forms are the basis for these data elements. Reporting parties should visit this link to view the OCR Final Rule on the Federal Register: <https://www.federalregister.gov/articles/2013/11/18/2013-26789/ownership-and-control-reports-forms-102102s-4040s-and-71>

Visit this link to view a pdf copy of the OCR Final Rule: <http://www.cftc.gov/ucm/groups/public/@lrfederalregister/documents/file/2013-26789a.pdf>

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				<ul style="list-style-type: none"> - previously reported on a Form 40 and being re-submitted because something has changed • Corrected - being reported in order to correct previously-submitted erroneous data 		
REPORTING TRADER CONTACT INFORMATION						
4.	Trader Type Indicator	Question 1	Yes	Indicates whether the reporting trader is a legal entity or natural	LE = Legal Entity NP = Natural Person	cftcBatch/cftcForm40@entityType

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				person		
IF REPORTING TRADER IS A LEGAL ENTITY						
5.	Legal Entity Name of Reporting Trader	Question 1	Conditional. Required if entityType = 'LE'	The legal name of the reporting trader (if legal entity).		cftcBatch/cftcForm40@legalEntityName
IF REPORTING TRADER IS A NATURAL PERSON						
6.	Last Name of Reporting Trader	Question 1	Conditional. Required if entityType = 'NP'	Surname of the reporting trader		cftcBatch/cftcForm40@lastName
7.	First Name of Reporting Trader	Question 1	Conditional. Required if entityType = 'NP'	Given or first in order name of the reporting trader		cftcBatch/cftcForm40@firstName
8.	Middle Name of Reporting Trader	Question 1	Conditional. Required if information available AND entityType = 'NP'	Middle name of the reporting trader		cftcBatch/cftcForm40@middleName
9.	Name Suffix of the Reporting Trader	Question 1	Conditional. Required if information available AND	Generational or name suffix of the reporting trader		cftcBatch/cftcForm40@nameSuffix

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			entityType = 'NP'			
FOR BOTH LEGAL ENTITIES AND NATURAL PERSONS						
10.	Street Address of Reporting Trader	Question 1	Yes	The street address of the reporting trader		cftcBatch/cftcForm40@street
11.	Suite Number of Reporting Trader	Question 1	Conditional. Required if information available	The suite number of the reporting trader		cftcBatch/cftcForm40@suite
12.	City of Reporting Trader	Question 1	Yes	The city of the reporting trader		cftcBatch/cftcForm40@city
13.	State of Reporting Trader	Question 1	Yes	The two character abbreviation for state of the reporting trader. <u>ISO 3166-2 geopolitical subdivision code; 1-3 alphanumeric characters</u>		cftcBatch/cftcForm40@state
14.	Country of Reporting Trader	Question 1	Yes	The two character abbreviation		cftcBatch/cftcForm40@country

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				for ISO 3166-1 alpha-2 country of the reporting trader code		
15.	Zip/Postal Code of Reporting Trader	Question 1	Yes	The zip code or postal code of the reporting trader		cftcBatch/cftcForm40@postalCode
16.	Phone Number of Reporting Trader	Question 1	Yes	The phone number of the reporting trader		cftcBatch/cftcForm40@telephone
17.	Email Address of Reporting Trader	Question 1	Yes	The email address of the reporting trader		cftcBatch/cftcForm40@email
18.	Website of Reporting Trader	Question 1	Conditional. Required if information available	The website of the reporting trader		cftcBatch/cftcForm40@website
19.	NFA ID of Reporting Trader	Question 1	Conditional. Required if information available	The identification number given to the reporting trader by the National Futures Association		cftcBatch/cftcForm40@NFAIdentifier

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	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
20.	Legal Entity Identifier of Reporting Trader	Question 1	Conditional. Required if information available	The legal entity identifier (LEI) assigned to the reporting trader by the LEI issuer		cftcBatch/cftcForm40@legalEntityIdentifier
21.	Name of Reporting Trader's Employer	Question 1	Yes	The name of the trader's employer		cftcBatch/cftcForm40@employerName
22.	Reporting Trader's Employer's NFA ID	Question 1	Conditional. Required if information available	The identification number given to the reporting trader's employer by the National Futures Association		cftcBatch/cftcForm40@employerNFAIdentifier
23.	Reporting Trader's Employer's Legal Entity Identifier	Question 1	Conditional. Required if information available	The legal entity identifier (LEI) assigned to the reporting trader's employer by the LEI issuer		cftcBatch/cftcForm40@employerLEI
CONTACT INFORMATION – DERIVATIVES TRADING CONTACT PERSON						
24.	Contact for Derivatives Trading of Reporting	Question 2	Yes	Indicates whether the contact information is regarding the	Y = Yes N = No	cftcBatch/CftcForm40/contact@isDerivativesPOC

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Trader			derivatives trading of the reporting traders		
25.	Individual to Contact Regarding Derivatives Trading has same information as Reporting Trader	Question 2	Yes	Indicates whether the contact information for derivatives trading is the same as the reporting trader	Y = Yes N = No	cftcBatch/CftcForm40/contact@isSameAsReporter
26.	Last Name of Contact for Reporting Trader's Derivatives Trading	Question 2	Yes	Surname of the contact person for the reporting trader's derivatives trading		cftcBatch/cftcForm40/contact@lastName
27.	First Name of Contact for Reporting Trader's Derivatives Trading	Question 2	Yes	Given or first in order name of the contact person for the reporting trader's derivatives trading		cftcBatch/cftcForm40/contact@firstName
28.	Middle Name of Contact for Reporting	Question 2	Conditional. Required if information available	Middle name of the contact person for the reporting trader's		cftcBatch/cftcForm40/contact@middleName

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	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Trader's Derivatives Trading			derivatives trading		
29.	Name Suffix of Contact for Reporting Trader's Derivatives Trading	Question 2	Conditional. Required if information available	Suffix of the contact person for the reporting trader's derivatives trading		cftcBatch/cftcForm40/contact@nameSuffix
30.	Street Address of Contact for Reporting Trader's Derivatives Trading	Question 2	Yes	Street Address of the contact person for the reporting trader's derivatives trading		cftcBatch/cftcForm40/contact@street
31.	Suite Number of Contact for Reporting Trader's Derivatives Trading	Question 2	Conditional. Required if information available	Suite number of the contact person for the reporting trader's derivatives trading		cftcBatch/cftcForm40/contact@suite
32.	City of Contact for Reporting Trader's Derivatives Trading	Question 2	Yes	City of the contact person for the reporting trader's derivatives trading		cftcBatch/cftcForm40/contact@city

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
33.	State of Contact for Reporting Trader's Derivatives Trading	Question 2	Yes	State of the contact person for the reporting trader's derivatives trading <u>ISO 3166-2 geopolitical subdivision code; 1-3 alphanumeric characters</u>		cftcBatch/cftcForm40/contact@state
34.	Country of Contact for Reporting Trader's Derivatives Trading	Question 2	Yes	Country of the contact person for the reporting trader's derivatives trading <u>ISO 3166-1 alpha-2 country code</u>		cftcBatch/cftcForm40/contact@country
35.	Zip/Postal Code of Contact for Reporting Trader's Derivatives Trading	Question 2	Yes	Zip Code or postal code of the contact person for the reporting trader's derivatives trading		cftcBatch/cftcForm40/contact@postalCode
36.	Phone Number of Contact for Reporting	Question 2	Yes	Phone Number of the contact person for the reporting trader's		cftcBatch/cftcForm40/contact@telephone

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Trader's Derivatives Trading			derivatives trading		
37.	Email Address of Contact for Reporting Trader's Derivatives Trading	Question 2	Yes	Email Address of the contact person for the reporting trader's derivatives trading		cftcBatch/cftcForm40/contact@email
38.	NFA ID of Contact for Reporting Trader's Derivatives Trading	Question 2	Conditional. Required if information available	The identification number given to the contact by the National Futures Association		cftcBatch/cftcForm40/contact@NFAIdentifier
CONTACT INFORMATION - RISK MANAGEMENT OPERATIONS CONTACT PERSON						
39.	Contact for Risk Management Operations of Reporting Trader	Question 3	Yes	Indicates whether the contact information is regarding the Risk Management Operations of the reporting traders	Y = Yes N = No	cftcBatch/CftcForm40/contact@isRiskManagementPOC

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
40.	Individual to Contact Regarding Risk Management Operations has same information as Reporting Trader	Question 3	Yes	Indicates whether the contact information for risk management operations is the same as the reporting trader	Y = Yes N = No	cftcBatch/CftcForm40/contact@isSameAsReporter
41.	Last Name of Contact for Reporting Trader's Risk Management Operations	Question 3	Yes	Surname for reportable contact person		cftcBatch/cftcForm40/contact@lastName
42.	First Name of Contact for Reporting Trader's Risk Management Operations	Question 3	Yes	Given or first in order name for reportable contact person		cftcBatch/cftcForm40/contact@firstName
43.	Middle Name of Contact for Reporting Trader's	Question 3	Conditional. Required if information available	Middle name for reportable contact person		cftcBatch/cftcForm40/contact@middleName

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	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Risk Management Operations					
44.	Name Suffix of Contact for Reporting Trader's Derivatives Trading	Question 3	Conditional. Required if information available	Suffix for reportable contact person		cftcBatch/cftcForm40/contact@nameSuffix
45.	Street Address of Contact for Reporting Trader's Risk Management Operations	Question 3	Yes	Street Address for reportable contact person		cftcBatch/cftcForm40/contact@street
46.	Suite Number of Contact for Reporting Trader's Risk Management Operations	Question 3	Conditional. Required if information available	Suite number for reportable contact person		cftcBatch/cftcForm40/contact@suite
47.	City of Contact for Reporting Trader's	Question 3	Yes	City for a reportable contact person		cftcBatch/cftcForm40/contact@city

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Risk Management Operations					
48.	State of Contact for Reporting Trader's Risk Management Operations	Question 3	Yes	State for a reportable contact person <u>ISO 3166-2 geopolitical subdivision code: 1-3 alphanumeric characters</u>		cftcBatch/cftcForm40/contact@state
49.	Country of Contact for Reporting Trader's Risk Management Operations	Question 3	Yes	Country for reportable contact person <u>ISO 3166-1 alpha-2 country code</u>		cftcBatch/cftcForm40/contact@country
50.	Zip/Postal Code of Contact for Reporting Trader's Risk Management Operations	Question 3	Yes	Zip Code or postal code for reportable contact person		cftcBatch/cftcForm40/contact@postalCode
51.	Phone Number of Contact for	Question 3	Yes	Phone Number for reportable contact person		cftcBatch/cftcForm40/contact@telephone

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Reporting Trader's Risk Management Operations					
52.	Email Address of Contact for Reporting Trader's Risk Management Operations	Question 3	Yes	Email Address for reportable contact person		cftcBatch/cftcForm40/contact@email
53.	NFA ID of Contact for Reporting Trader's Risk Management Operations	Question 3	Conditional. Required if information available	The identification number given to the contact by the National Futures Association		cftcBatch/cftcForm40/contact@NFAIdentifier
CONTACT INFORMATION – INDIVIDUAL RESPONSIBLE FOR INFORMATION ON FORM 40						
54.	Contact for Responsible Individual of Information on Form 40.	Question 4	Yes	Indicates whether the contact information is regarding the Individual Responsible for information on	Y = Yes N = No	cftcBatch/CftcForm40/contact@isFormInformationPOC

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				form40		
55.	Individual to Contact Regarding Information on Form 40 has same information as Reporting Trader	Question 4	Yes	Indicates whether the contact information for information on Form 40 is the same as the reporting trader	Y = Yes N = No	cftcBatch/CftcForm40/contact@isSameAsReporter
56.	Last Name of Contact for Reporting Trader's Form 40 Verification	Question 4	Yes	Surname for a natural person contact for Form 40 verification for the reporting trader		cftcBatch/cftcForm40/contact@lastName
57.	First Name of Contact for Reporting Trader's Form 40 Verification	Question 4	Yes	Given or first in order name for a natural person contact for Form 40 verification for the reporting trader		cftcBatch/cftcForm40/contact@firstName
58.	Middle Name of Contact for Reporting Trader's	Question 4	Conditional. Required if information available	Middle name for a natural person contact for Form 40 verification for the reporting		cftcBatch/cftcForm40/contact@middleName

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	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Form 40 Verification			trader		
59.	Name Suffix of Contact for Reporting Trader's Form 40 Verification	Question 4	Conditional. Required if information available	Suffix for a natural person contact for Form 40 verification for the reporting trader		cftcBatch/cftcForm40/contact@nameSuffix
60.	Street Address of Contact for Reporting Trader's Form 40 Verification	Question 4	Yes	Street Address of the natural person contact for the reporting trader's Form 40 verification		cftcBatch/cftcForm40/contact@street
61.	Suite Number of Contact for Reporting Trader's Form 40 Verification	Question 4	Conditional. Required if information available	Suite number of the natural person contact for the reporting trader's Form 40 verification		cftcBatch/cftcForm40/contact@suite
62.	City of Contact for Reporting Trader's Form 40 Verification	Question 4	Yes	City of the natural person contact for the reporting trader's Form 40 verification		cftcBatch/cftcForm40/contact@city

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
63.	State of Contact for Reporting Trader's Form 40 Verification	Question 4	Yes	State of the natural person contact for the reporting trader's Form 40 verification <u>ISO 3166-2 geopolitical subdivision code; 1-3 alphanumeric characters</u>		cftcBatch/cftcForm40/contact@state
64.	Country of Contact for Reporting Trader's Form 40 Verification	Question 4	Yes	Country of the natural person contact for the reporting trader's Form 40 verification <u>ISO 3166-1 alpha-2 country code</u>		cftcBatch/cftcForm40/cotnact@country
65.	Zip/Postal Code of Contact for Reporting Trader's Form 40 Verification	Question 4	Yes	Zip code or postal code of the natural person contact for the reporting trader's Form 40 verification		cftcBatch/cftcForm40/contact@postalCode
66.	Phone Number of Contact for	Question 4	Yes	Phone number of the natural person contact		cftcBatch/cftcForm40/contact@telephone

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Reporting Trader's Form 40 Verification			for the reporting trader's Form 40 verification		
67.	Email Address of Contact for Reporting Trader's Form 40 Verification	Question 4	Yes	Email Address of the natural person contact for the reporting trader's Form 40 verification		cftcBatch/cftcForm40/contact@email
68.	NFA ID of Contact for Reporting Trader's Form 40 Verification	Question 4	Conditional. Required if information available	The identification number given to the contact by the National Futures Association		cftcBatch/cftcForm40/contact@NFAIdentifier
OMNIBUS ACCOUNT CARRIER INFORMATION						
69.	Customer Omnibus Account Indicator	Question 5	Yes	Indicates whether the reporting trader has a customer omnibus account with a futures commission merchant, clearing member, or foreign broker	Y = Yes N = No	cftcBatch/cftcForm40@isOmnibusAccount

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
70.	Name of Omnibus Account Carrier	Question 5	Conditional. Required if isOmnibusAccount='Y'	For traders that have a customer omnibus account(s), the name of the futures commission merchant, clearing member, or foreign broker carrying the account(s) of the reporting trader		cftcBatch/cftcForm40/omnibusAccountCarrier@legalEntityName
71.	Futures Commission Merchant Omnibus Carrier Indicator	Question 5	Conditional. Required if isOmnibusAccount='Y'	Indicates whether the reporting trader has a customer omnibus account with a futures commission merchant	Y = Yes N = No	cftcBatch/cftcForm40/omnibusAccountCarrier@isFCM
72.	Clearing Member Omnibus Carrier Indicator	Question 5	Conditional. Required if isOmnibusAccount='Y'	Indicates whether the reporting trader has a customer omnibus account with a clearing member	Y = Yes N = No	cftcBatch/cftcForm40/omnibusAccountCarrier@isCM

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
73.	Foreign Broker Omnibus Carrier Indicator	Question 5	Conditional. Required if isOmnibusAccount='Y'	Indicates whether the reporting trader has a customer omnibus account with a foreign broker	Y = Yes N = No	cftcBatch/cftcForm40/omnibusAccountCarrier@isFB
74.	Foreign Government Affiliation Indicator	Question 6	Yes	Indicates whether the reporting trader is directly or indirectly affiliated with a government other than that of the United States	Y = Yes N = No	cftcBatch/cftcForm40@isForeignAffiliated
FOREIGN GOVERNMENT AFFILIATION INFORMATION						
75.	Foreign Government Name	Question 6	Conditional. Required if isForeignAffiliated='Y'	For reporting traders affiliated with foreign government(s), the name(s) of those foreign governments		cftcBatch/cftcForm40/foreignAffiliation@countryName
76.	Nature of Foreign Government Affiliation(s)	Question 6	Conditional. Required if isForeignAffiliated='Y'	An explanation of the nature of affiliation(s) between the reporting trader		cftcBatch/cftcForm40/foreignAffiliation@relationship

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				and the foreign governments listed		
NON-DOMESTIC ENTITY INFORMATION						
77.	Non-Domestic Entity Indicator	Question 7	Conditional. Required if entityType = 'LE'	Indicates if the reporting trader is organized under the laws of countr(ies) other than the United States	Y = yes N = no	cftcBatch/cftcForm40@isForeignEntity
78.	Country of Organization	Question 7	Conditional. Required if isForeignEntity = 'Y'	For reporting traders organized under the laws of countr(ies) other than the United States, the names of those countries <u>ISO 3166-1 alpha-2 country code</u>		cftcBatch/cftcForm40/foreignLegalRegime@country
OWNERSHIP STRUCTURE OF REPORTING TRADER						
PARENT / 10% OR GREATER OWNER OF THE REPORTING TRADER						
79.	Parent or Owner	Question 8	Yes, isParentOrOwner	Indicates whether the reporting	Y = Has at least one parent or owner	cftcBatch/cftcForm40/relatedEntity@isParentOrOwner

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Indicator		=‘Y’	trader has at least one parent/owner		
80.	Parent Company	Question 8	Conditional. Required if isParentOrOwner =‘Y’	Indicates if the parent of the reporting trader is a Parent Company	Y = yes N = no	cftcBatch/cftcForm40/relatedEntity@isParentCompany
81.	Parent Generation	Question 8	Conditional. Required if isParentOrOwner =‘Y’ AND isParentCompany =‘Y’	For each parent of the reporting trader, indicates the hierarchical level in the entity structure where the parent is located. Direct parents of the trader have Generation = 1; parents of a Generation +1 parent (parents of a direct parent) have Generation = 2 and so on.	2 = Parent of a parent 1 = Direct parent of a reporting trader	cftcBatch/cftcForm40/relatedEntity@generation
82.	Parent or Owner Entity Type	Question 8	Conditional. Required if isParentOrOwner =‘Y’	Indicates whether the parent/owner is a legal entity or a natural person	LE = legal entity NP = natural person	cftcBatch/cftcForm40/relatedEntity@entityType

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	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
IF PARENT/OWNER IS A LEGAL ENTITY						
83.	Parent or Owner Legal Entity Name	Question 8	Conditional. Required if entityType = 'LE' AND isParentOrOwner = 'Y'	The legal entity name of each parent/owner of the reporting trader (if the parent is a legal entity)		cftcBatch/cftcForm40/relatedEntity@legalEntityName
IF PARENT/OWNER IS A NATURAL PERSON						
84.	Parent or Owner Last Name	Question 8	Conditional. Required if entityType = 'NP' AND isParentOrOwner = 'Y'	Surname of the parent/owner of the reporting trader		cftcBatch/cftcForm40/relatedEntity@lastName
85.	Parent or Owner First Name	Question 8	Conditional. Required if entityType = 'NP' AND isParentOrOwner = 'Y'	Given or first in order name of the parent/owner of the reporting trader		cftcBatch/cftcForm40/relatedEntity@firstName
86.	Parent or Owner Middle Name	Question 8	Conditional. Required if information available AND If entityType = 'NP'	Middle name of the parent/owner of the reporting trader		cftcBatch/cftcForm40/relatedEntity@middleName

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			AND isParentOrOwner = 'Y'			
87.	Parent or Owner Name Suffix	Question 8	Conditional. Required if information available AND If entitytype = 'NP' AND isParentOrOwner = 'Y'	Generational or name suffix of the parent/owner of the reporting trader		cftcBatch/cftcForm40/relatedEntity@nameSuffix
FOR BOTH LEGAL ENTITIES AND NATURAL PERSONS						
88.	Parent or Owner Street Address	Question 8	Conditional. Required if isParentOrOwner = 'Y'	Street address of each parent/owner of the reporting trader		cftcBatch/cftcForm40/relatedEntity@street
89.	Parent or Owner Suite Number	Question 8	Conditional. Required if information available AND isParentOrOwner = 'Y'	Suite number of each parent/owner of the reporting trader		cftcBatch/cftcForm40/relatedEntity@suite
90.	Parent or Owner City	Question 8	Conditional. Required if isParentOrOwner = 'Y'	City of each parent/owner of the reporting trader		cftcBatch/cftcForm40/relatedEntity@city

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
91.	Parent or Owner State	Question 8	Conditional. Required if isParentOrOwner = 'Y'	<u>State of each parent/owner of the reporting trader</u> <u>ISO 3166-2 geopolitical subdivision code; 1-3 alphanumeric characters</u>		cftcBatch/cftcForm40/relatedEntity@state
92.	Parent or Owner Country	Question 8	Conditional. Required if isParentOrOwner = 'Y'	<u>Country of each parent/owner of the reporting trader</u> <u>ISO 3166-1 alpha-2 country code</u>		cftcBatch/cftcForm40/relatedEntity@country
93.	Parent or Owner Zip/Postal Code	Question 8	Conditional. Required if isParentOrOwner = 'Y'	Zip code or postal code of each parent/owner of the reporting trader		cftcBatch/cftcForm40/relatedEntity@postalCode
94.	Parent or Owner Phone Number	Question 8	Conditional. Required if isParentOrOwner = 'Y'	Phone Number of each parent/owner of the reporting trader		cftcBatch/cftcForm40/relatedEntity@telephone
95.	Parent or Owner Website	Question 8	Conditional. Required if information available	Website of each parent/owner of the reporting trader		cftcBatch/cftcForm40/relatedEntity@website

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
96.	Parent or Owner Email Address	Question 8	Conditional. Required if isParentOrOwner = 'Y'	Email address of each parent/owner of the reporting trader		cftcBatch/cftcForm40/relatedEntity@email
97.	Parent or Owner NFA ID	Question 8	Conditional. Required if information available AND isParentOrOwner = 'Y'	The identification number given to the parent/owner of the reporting trader by the National Futures Association		cftcBatch/cftcForm40/relatedEntity@NFAIdentifier
98.	Parent or Owner Legal Entity Identifier	Question 8	Conditional. Required if information available AND isParentOrOwner = 'Y'	The legal entity identifier (LEI) assigned to the parent/owner of the reporting trader by the LEI issuer		cftcBatch/cftcForm40/relatedEntity@legalEntityIdentifier
99.	10% Owner	Question 8	Conditional. Required if isParentOrOwner = 'Y'	Indicates if the parent of the reporting trader is a 10% beneficial owner	Y = yes N = no	cftcBatch/cftcForm40/relatedEntity@isPercent_10

IF REPORTING TRADER IS A COMMODITY POOL

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
100.	Commodity Pool Indicator	Question 8i-8iii	Conditional. Required if isParentOrOwner = 'Y' AND isCommodityPool = 'Y'	For each parent/owner of the reporting trader that is a limited partner, shareholder, or other similar type of pool participant, indicates if the reported party is a commodity pool	Y = Yes N = No	cftcBatch/cftcForm40/relatedEntity@isCommodityPool
101.	Parent or Owner Principal Indicator	Question 8i	Conditional. Required if isParentOrOwner = 'Y' AND isCommodityPool = 'Y'	For each parent/owner of the reporting trader that is a limited partner, shareholder, or other similar type of pool participant, indicates if the reported party is a principal of the operator of the commodity pool	Y = Yes N = No	cftcBatch/cftcForm40/relatedEntity@isPrincipal
102.	Parent or Owner	Question 8i	Conditional. Required if	For each parent/owner of	Y = yes N = no	cftcBatch/cftcForm40/relatedEntity@isAffiliate

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Affiliate Indicator		isParentOrOwner = 'Y' AND isCommodityPool = 'Y'	the reporting trader that is a limited partner, shareholder, or other similar type of pool participant, indicates if the reported party is an affiliate of the operator of the commodity pool		
103.	Parent or Owner Commodity Pool Operator Indicator	Question 8ii	Conditional. Required if isParentOrOwner = 'Y' AND isCommodityPool = 'Y'	For each parent/owner of the reporting trader that is a limited partner, shareholder, or other similar type of pool participant, indicates if the reported party is also a commodity pool operator of the commodity pool	Y = Yes N = No	cftcBatch/cftcForm40/relatedEntity@isCommodityPoolOperator
104.	25% Ownership	Question 8iii	Conditional. Required if	For each parent/owner of	Y = Yes N = No	cftcBatch/cftcForm40/relatedEntity@isPercent_25

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Indicator		isParentOrOwner = 'Y' AND isCommodityPool = 'Y'	the reporting trader that is a limited partner, shareholder, or other similar type of pool participant and where the operator of the commodity pool is exempt from registration under §4.13 of the Commission's regulations, indicates if the reported party has an ownership or equity interest of 25 percent or greater in the commodity pool		
SUBSIDIARY OF THE REPORTING TRADER/PERSONS IN WHICH REPORTING TRADER HAS 10% OR GREATER OWNERSHIP INTEREST						
105.	Subsidiary or Owned Indicator	Question 9	Yes, isSubsidiaryOrOwned = 'Y'	Indicates whether the reporting trader has at least one subsidiary and, separately,	Y = Yes N = No	cftcBatch/cftcForm40/relatedEntity@isSubsidiaryOrOwned

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				all persons in which the reporting trader has a 10 percent or greater ownership interest		
106.	Subsidiary Company	Question 9	Conditional. Required if isSubsidiaryOrOwned = 'Y'	Indicates if the reported party is a subsidiary of the reporting trader.	Y = Yes N = No	cftcBatch/cftcForm40/relatedEntity@isSubsidiaryCompany
107.	Subsidiary Generation	Question 9	Conditional. Required if isSubsidiaryOrOwned = 'Y' AND isSubsidiaryCompany = 'Y'	For each subsidiary entity of the reporting trader, indicates the hierarchical level in the entity structure where the subsidiary entity is located. Direct subsidiaries of the trader have Generation = -1; subsidiaries of a Generation -1 parent (subs of a sub) have	-2 = Sub of a sub -1 = Direct sub of a reporting trader	cftcBatch/cftcForm40/relatedEntity@generation

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	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				Generation = - 2 and so on.		
108.	Subsidiary or Owned Type Indicator	Question 9	Conditional. Required if isSubsidiaryOrOwned = 'Y'	For each reported party, indicates if the reported party is a natural person or a legal entity	LE = Legal Entity NP = Natural Person	cftcBatch/cftcForm40/relatedEntity@entityType
IF SUBSIDIARY OR OWNED ENTITY IS A LEGAL ENTITY						
109.	Subsidiary or Owned Entity Name	Question 9	Conditional Required if entityType = 'LE' AND isSubsidiaryOrOwned = 'Y'	Legal name of each subsidiary/owned entity of the reporting trader		cftcBatch/cftcForm40/relatedEntity@legalEntityName
IF SUBSIDIARY OR OWNED ENTITY IS A NATURAL PERSON						
110.	Subsidiary or Owned Entity Last Name	Question 9	Conditional Required if entityType = 'NP' AND isSubsidiaryOrOwned = 'Y'	Surname of each subsidiary/owned entity of the reporting trader		cftcBatch/cftcForm40/relatedEntity@lastName
111.	Subsidiary or Owned Entity First Name	Question 9	Conditional Required if entityType = 'NP' AND	Given or first in order name of each subsidiary/owned		cftcBatch/cftcForm40/relatedEntity@firstName

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			isSubsidiaryOrOwned = 'Y'	entity of the reporting trader		
112.	Subsidiary or Owned Entity Middle Name	Question 9	Conditional Required if available AND entityType = 'NP' AND isSubsidiaryOrOwned = 'Y'	Middle name of each subsidiary/owned entity of the reporting trader		cftcBatch/cftcForm40/relatedEntity@middleName
113.	Subsidiary or Owned Entity Name Suffix	Question 9	Conditional Required if available AND entityType = 'NP' AND isSubsidiaryOrOwned = 'Y'	Generational or name suffix of each subsidiary/owned entity of the reporting trader		cftcBatch/cftcForm40/relatedEntity@nameSuffix
FOR BOTH LEGAL ENTITIES AND NATURAL PERSONS						
114.	Subsidiary or Owned Entity Street Address	Question 9	Conditional. Required if isSubsidiaryOrOwned = 'Y'	Street address of each subsidiary/owned entity of the reporting trader		cftcBatch/cftcForm40/relatedEntity@street
115.	Subsidiary or Owned Entity Suite Number	Question 9	Conditional. Required if isSubsidiaryOrOwned = 'Y'	Suite number of each subsidiary/owned entity of the reporting trader		cftcBatch/cftcForm40/relatedEntity@suite

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
116.	Subsidiary or Owned Entity City	Question 9	Conditional. Required if isSubsidiaryOrOwned = 'Y'	City of each subsidiary/owned entity of the reporting trader		cftcBatch/cftcForm40/relatedEntity@city
117.	Subsidiary or Owned Entity State	Question 9	Conditional. Required if isSubsidiaryOrOwned = 'Y'	State of each subsidiary/owned entity of the reporting trader ISO 3166-2 geopolitical subdivision code; 1-3 alphanumeric characters		cftcBatch/cftcForm40/relatedEntity@state
118.	Subsidiary or Owned Entity Country	Question 9	Conditional. Required if isSubsidiaryOrOwned = 'Y'	Country of each subsidiary/owned entity of the reporting trader ISO 3166-1 alpha-2 country code		cftcBatch/cftcForm40/relatedEntity@country
119.	Subsidiary or Owned Entity Zip/Postal Code	Question 9	Conditional. Required if isSubsidiaryOrOwned = 'Y'	Zip code or postal code of each subsidiary/owned entity of the reporting trader		cftcBatch/cftcForm40/relatedEntity@postalCode
120.	Subsidiary or Owned Entity Phone	Question 9	Conditional. Required if isSubsidiaryOrOwned = 'Y'	Phone number of each subsidiary/owned		cftcBatch/cftcForm40/relatedEntity@telephone

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Number		wned ='Y'	entity of the reporting trader		
121.	Subsidiary or Owned Entity Website	Question 9	Conditional. Required if information available AND isSubsidiaryOrOwned ='Y'	Website of each subsidiary/owned entity of the reporting trader		cftcBatch/cftcForm40/relatedEntity@website
122.	Subsidiary or Owned Entity Email Address	Question 9	Conditional. Required if isSubsidiaryOrOwned ='Y'	Email address of each subsidiary/owned entity of the reporting trader		cftcBatch/cftcForm40/relatedEntity@email
123.	Subsidiary or Owned Entity NFA ID	Question 9	Conditional. Required if information available AND If entitytype = 'LE' AND isSubsidiaryOrOwned ='Y'	The identification number given to the subsidiary/owned entity by the National Futures Association		cftcBatch/cftcForm40/relatedEntity@NFAIdentifier
124.	Subsidiary or Owned Entity Legal Entity Identifier	Question 9	Conditional. Required if information available AND If entitytype = 'LE' AND isSubsidiaryOrOwned ='Y'	The legal entity identifier (LEI) assigned to the subsidiary/owned entity by the LEI issuer		cftcBatch/cftcForm40/relatedEntity@legalEntityIdentifier

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
125.	10% Owned	Question 9	Conditional. Required if isSubsidiaryOrOwned = 'Y'	Indicates if the reported party is a person in which the reporting trader has a 10% or greater ownership interest	Y = Yes N = No	cftcBatch/cftcForm40/relatedEntity@isPercent_10
126.	Subsidiary Principal/Affiliate Indicator	Question 9i	Conditional. Required if isSubsidiaryOrOwned = 'Y'	For each subsidiary/owned entity that is a commodity pool and for which the reporting trader is a limited partner, shareholder, or other pool participant, indicates if the trader is a principal of the operator of the commodity pool	Y = Yes N = No	cftcBatch/cftcForm40/relatedEntity@isPrincipal
127.	Subsidiary Affiliate Indicator	Question 9i	Conditional. Required if isSubsidiaryOrOwned = 'Y'	For each subsidiary/owned entity that is a commodity pool and for which the	Y = Yes N = No	cftcBatch/cftcForm40/relatedEntity@isAffiliate

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				reporting trader is a limited partner, shareholder, or other pool participant, indicates if the trader is an affiliate of the operator of the commodity pool		
128.	Subsidiary Commodity Pool Operator Indicator	Question 9ii	Conditional. Required if isSubsidiaryOrOwned = 'Y'	For each reported party that is a commodity pool and for which the trader is a limited partner, shareholder, or other pool participant, indicates if the trader is the commodity pool operator	Y = Yes, operator N = No, not the operator	cftcBatch/cftcForm40/relatedEntity@isCommodityPoolOperator
129.	Subsidiary 25% Ownership Indicator	Question 9iii	Conditional. Required if isSubsidiaryOrOwned = 'Y'	For each reported party that is a commodity pool and for which the trader is a limited	Y = 25% or greater interest N = not 25% or greater interest	cftcBatch/cftcForm40/relatedEntity@isPercent_25

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				partner, shareholder, or other pool participant, and for which the operator of the commodity pool is exempt from registration under §4.13 of the Commission's regulations, indicates if the trader has an ownership or equity interest of 25 percent or greater in the commodity pool		
CONTROL OF TRADING - PERSONS OTHER THAN REPORTING TRADER						
130.	Controller Indicator	Question 10	Yes	List all persons outside of the reporting trader that control some or all of the derivatives trading of the reporting trader –	Y=Yes N=No	cftcBatch/cftcForm40/relatedEntity@isAlternateTradeControl

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				an "alternate trade controller"		
131.	Alternate Trade Controller Type Indicator	Question 10	Conditional. Required if isAlternateTradeControl = 'Y'	For each alternate trade controller, indicates if the person is a natural person or legal entity	LE = Legal Entity NP = Natural Person	cftcBatch/cftcForm40/relatedEntity@entityType
IF ALTERNATE TRADE CONTROLLER IS A LEGAL ENTITY						
132.	Alternate Trade Controller Legal Entity Name	Question 10	Conditional. Required if entityType = 'LE' AND isAlternateTradeControl = 'Y'	Legal name of each alternate trade controller		cftcBatch/cftcForm40/relatedEntity@legalEntityName
IF ALTERNATE TRADE CONTROLLER IS A NATURAL PERSON						
133.	Alternate Trade Controller Last Name	Question 10	Conditional. Required If entityType = 'NP' AND isAlternateTradeControl = 'Y'	Surname of each alternate trade controller		cftcBatch/cftcForm40/relatedEntity@lastName
134.	Alternate Trade Controller	Question 10	Conditional, If entityType = 'NP' AND	Given or first in order name of each alternate		cftcBatch/cftcForm40/relatedEntity@firstName

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	First Name		isAlternateTradeControl = 'Y'	trade controller		
135.	Alternate Trade Controller Middle Name	Question 10	Conditional (not required), If entityType = 'NP' AND isAlternateTradeControl = 'Y'	Middle name of each alternate trade controller		cftcBatch/cftcForm40/relatedEntity@middleName
136.	Alternate Trade Controller Name Suffix	Question 10	Conditional (not required), If entityType = 'NP' isAlternateTradeControl = 'Y'	Generational or name suffix of each alternate trade controller		cftcBatch/cftcForm40/relatedEntity@nameSuffix
FOR BOTH LEGAL ENTITIES AND NATURAL PERSONS						
137.	Alternate Trade Controller Street Address	Question 10	Conditional. Required If isAlternateTradeControl = 'Y'	Street address of each alternate trade controller		cftcBatch/cftcForm40/relatedEntity@street
138.	Alternate Trade Controller Suite Number	Question 10	Conditional. Required If isAlternateTradeControl = 'Y'	Suite number of each alternate trade controller		cftcBatch/cftcForm40/relatedEntity@suite
139.	Alternate Trade	Question 10	Conditional. Required	City of each alternate trade		cftcBatch/cftcForm40/relatedEntity@city

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Controller City		If isAlternateTrade Control = 'Y'	controller		
140.	Alternate Trade Controller State	Question 10	Conditional. Required If isAlternateTrade Control = 'Y'	State of each alternate trade controller ISO 3166-2 geopolitical subdivision code: 1-3 alphanumeric characters		cftcBatch/cftcForm40/relatedEntity@state
141.	Alternate Trade Controller Country	Question 10	Conditional. Required If isAlternateTrade Control = 'Y'	Country of each alternate trade controller ISO 3166-1 alpha-2 country code		cftcBatch/cftcForm40/relatedEntity@country
142.	Alternate Trade Controller Zip/Postal Code	Question 10	Conditional. Required If isAlternateTrade Control = 'Y'	Zip code or postal code of each alternate trade controller		cftcBatch/cftcForm40/relatedEntity@postalCode
143.	Alternate Trade Controller Phone Number	Question 10	Conditional. Required If isAlternateTrade Control = 'Y'	Phone number of each alternate trade controller		cftcBatch/cftcForm40/relatedEntity@telephone
144.	Alternate Trade Controller	Question 10	Conditional. Required If information	Website of each alternate trade controller		cftcBatch/cftcForm40/relatedEntity@website

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Website		available AND isAlternateTradeControl = 'Y'			
145.	Alternate Trade Controller Email Address	Question 10	Conditional. Required if isAlternateTradeControl = 'Y'	Email address of each alternate trade controller		cftcBatch/cftcForm40/relatedEntity@email
146.	Alternate Trade Controller NFA ID	Question 10	Conditional. Required if information available AND isAlternateTradeControl = 'Y'	The identification number given to the alternate trade controller by the National Futures Association		cftcBatch/cftcForm40/relatedEntity@NFAIdentifier
147.	Alternate Trade Controller Legal Entity Identifier	Question 10	Conditional. Required if information available AND isAlternateTradeControl = 'Y'	The legal entity identifier (LEI) assigned to the alternate trade controller by the LEI issuer		cftcBatch/cftcForm40/relatedEntity@legalEntityIdentifier
148.	Alternate Trade Controller Some/All Indicator	Question 10	Conditional. Required If isAlternateTradeControl = 'Y'	Indicates if the alternate trade controller controls some or all of the derivatives trading of the	S = Some A = All	cftcBatch/cftcForm40/relatedEntity@toWhatDegree

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				reporting trader		
PERSONS FOR WHICH REPORTING TRADER CONTROLS TRADING						
149.	Controlee Indicator	Question 11	Yes	List all persons for which the reporting trader controls some or all of the derivatives trading (a "controlee")	Y=Yes N=No	cftcBatch/cftcForm40/relatedEntity@isTradeControlFor
150.	Controlee Type Indicator	Question 11	Conditional. Required if isTradeControlFor='Y'	For each controlee, indicates whether the person is a legal entity or natural person	LE = Legal Entity NP = Natural Person	cftcBatch/cftcForm40/relatedEntity@entityType
IF CONTROLEE IS A LEGAL ENTITY						
151.	Controlee Legal Entity Name	Question 11	Conditional. Required if entityType = 'LE' AND isTradeControlFor='Y'	Legal name of each controlee		cftcBatch/cftcForm40/relatedEntity@legalEntityName
IF CONTROLEE IS A NATURAL PERSON						

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
152.	Controlee Last Name	Question 11	Conditional. Required if entityType = 'NP' AND isTradeControlFor='Y'	Surname of each controlee		cftcBatch/cftcForm40/relatedEntity@lastName
153.	Controlee First Name	Question 11	Conditional. Required if entityType = 'NP' AND isTradeControlFor='Y'	Given or first in order name of each controlee		cftcBatch/cftcForm40/relatedEntity@firstName
154.	Controlee Middle Name	Question 11	Conditional. Required if information available AND entityType = 'NP' AND isTradeControlFor='Y'	Middle name of each controlee		cftcBatch/cftcForm40/relatedEntity@middleName
155.	Controlee Name Suffix	Question 11	Conditional. Required if information available AND entityType = 'NP' AND isTradeControlFor='Y'	Generational or name suffix of each controlee		cftcBatch/cftcForm40/relatedEntity@nameSuffix

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
FOR BOTH LEGAL ENTITIES AND NATURAL PERSONS						
156.	Controlee Street Address	Question 11	Conditional. Required if isTradeControlF or='Y'	Street address of each controlee		cftcBatch/cftcForm40/relatedEntity@street
157.	Controlee Suite Number	Question 11	Conditional. Required if information available AND isTradeControlF or='Y'	Suite number of each controlee		cftcBatch/cftcForm40/relatedEntity@suite
158.	Controlee City	Question 11	Conditional. Required if isTradeControlF or='Y'	City of each controlee		cftcBatch/cftcForm40/relatedEntity@city
159.	Controlee State	Question 11	Conditional. Required if isTradeControlF or='Y'	<u>State of each controlee</u> <u>ISO 3166-2 geopolitical subdivision code;</u> <u>1-3 alphanumeric characters</u>		cftcBatch/cftcForm40/relatedEntity@state
160.	Controlee Country	Question 11	Conditional. Required if isTradeControlF or='Y'	<u>Country of each controlee</u> <u>ISO 3166-1 alpha-2 country code</u>		cftcBatch/cftcForm40/relatedEntity@country

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
161.	Controlee Zip/Postal Code	Question 11	Conditional. Required if isTradeControlFor='Y'	Zip code or postal code of each controlee		cftcBatch/cftcForm40/relatedEntity@postalCode
162.	Controlee Phone Number	Question 11	Conditional. Required if isTradeControlFor='Y'	Phone number of each controlee		cftcBatch/cftcForm40/relatedEntity@telephone
163.	Controlee Website	Question 11	Conditional. Required if Information available AND isTradeControlFor='Y'	Website of each controlee		cftcBatch/cftcForm40/relatedEntity@website
164.	Controlee Email Address	Question 11	Conditional. Required if isTradeControlFor='Y'	Email address of each controlee		cftcBatch/cftcForm40/relatedEntity@email
165.	Controlee NFA ID	Question 11	Conditional. Required If Information Available AND isTradeControlFor='Y'	The identification number given to the controlee by the National Futures Association		cftcBatch/cftcForm40/relatedEntity@NFAIdentifier
166.	Controlee Legal Entity Identifier	Question 11	Conditional. Required If Information Available AND	The legal entity identifier (LEI) assigned to the controlee by the		cftcBatch/cftcForm40/relatedEntity@legalEntityIdentifier

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			isTradeControlFor='Y'	LEI issuer		
167.	Controlee Some/All Indicator	Question 11	Conditional. Required If isTradeControlFor='Y'	Indicates if the reporting trader controls some or all of the derivatives trading of the controlee	S = Some A = All	cftcBatch/cftcForm40/relatedEntity@toWhatDegree
OTHER PERSON THAT INFLUENCES OR EXERCISES AUTHORITY OVER TRADING						
168.	Influencer/ Authority Indicator	Question 12	Yes	List any other person(s) that directly or indirectly influence, or exercise authority over, some or all of the trading of the reporting trader, but who do not exercise "control" as defined in the OCR Final Rule (a "Reportable Influencer")	Y=Yes N=No	cftcBatch/cftcForm40/relatedEntity@isOtherInfluence

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
169.	Influencer/A uthority Type Indicator	Question 12	Conditional. Required if isOtherInfluence ='Y'	For each reportable influencer, indicates whether the person is legal entity or natural person	LE = Legal Entity NP = Natural Person	cftcBatch/cftcForm40/relatedEntity@entityType
IF REPORTABLE INFLUENCER IS A LEGAL ENTITY						
170.	Influencer/A uthority Legal Entity Name	Question 12	Conditional. Required if entityType='LE' AND isOtherInfluence ='Y'	Legal name of each reportable influencer		cftcBatch/cftcForm40/relatedEntity@legalEntityName
IF REPORTABLE INFLUENCER IS A NATURAL PERSON						
171.	Influencer/A uthority Last Name	Question 12	Conditional. Required if entityType='NP' AND isOtherInfluence ='Y'	Surname of each reportable influencer		cftcBatch/cftcForm40/relatedEntity@lastName
172.	Influencer/A uthority First Name	Question 12	Conditional. Required if entityType='NP' AND isOtherInfluence	Given or first in order name of each reportable influencer		cftcBatch/cftcForm40/relatedEntity@firstName

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			=‘Y’			
173.	Influencer/A uthority Middle Name	Question 12	Conditional. Required If Information Avaliable AND entityType=‘NP’ AND isOtherInfluence =‘Y’	Middle name of each reportable influencer		cftcBatch/cftcForm40/relatedEntity@middleName
174.	Influencer/A uthority Name Suffix	Question 12	Conditional. Required If Information Avaliable AND entityType=‘NP’ AND isOtherInfluence =‘Y’	Generational or name suffix of each reportable influencer		cftcBatch/cftcForm40/relatedEntity@nameSuffix
FOR BOTH LEGAL ENTITIES AND NATURAL PERSONS						
175.	Influencer/A uthority Street Address	Question 12	Conditional. Required if isOtherInfluence =‘Y’	Street address of each reportable influencer		cftcBatch/cftcForm40/relatedEntity@street
176.	Influencer/A uthority Suite Number	Question 12	Conditional. Required If Information Avaliable AND	Suite number of each reportable influencer		cftcBatch/cftcForm40/relatedEntity@suite

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			isOtherInfluence = 'Y'			
177.	Influencer/A uthority City	Question 12	Conditional. Required if isOtherInfluence = 'Y'	City of each reportable influencer		cftcBatch/cftcForm40/relatedEntity@city
178.	Influencer/A uthority State	Question 12	Conditional. Required if isOtherInfluence = 'Y'	<u>State of each reportable influencer ISO 3166-2 geopolitical subdivision code; 1-3 alphanumeric characters</u>		cftcBatch/cftcForm40/relatedEntity@state
179.	Influencer/A uthority Country	Question 12	Conditional. Required if isOtherInfluence = 'Y'	<u>Country of each reportable influencer ISO 3166-1 alpha-2 country code</u>		cftcBatch/cftcForm40/relatedEntity@country
180.	Influencer/A uthority Zip/Postal Code	Question 12	Conditional. Required if isOtherInfluence = 'Y'	Zip code or postal code of each reportable influencer		cftcBatch/cftcForm40/relatedEntity@postalCode
181.	Influencer/A uthority Phone Number	Question 12	Conditional. Required if isOtherInfluence = 'Y'	Phone number of each reportable influencer		cftcBatch/cftcForm40/relatedEntity@telephone

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
182.	Influencer/Authority Website	Question 12	Conditional. Required if Information Available AND isOtherInfluence = 'Y'	URL for the website of each reportable influencer		cftcBatch/cftcForm40/relatedEntity@website
183.	Influencer/Authority Email Address	Question 12	Conditional. Required if isOtherInfluence = 'Y'	Email address of each reportable influencer		cftcBatch/cftcForm40/relatedEntity@email
184.	Influencer/Authority NFA ID	Question 12	Conditional. Required If Information available AND isOtherInfluence = 'Y'	The identification number given to the influencer/authority by the National Futures Association		cftcBatch/cftcForm40/relatedEntity@NFAIdentifier
185.	Influencer/Authority Legal Entity Identifier	Question 12	Conditional. Required If Information available AND isOtherInfluence = 'Y'	The legal entity identifier (LEI) assigned to the influencer/authority by the LEI issuer		cftcBatch/cftcForm40/relatedEntity@legalEntityIdentifier
186.	Influencer/Authority Some/All Indicator	Question 12	Conditional. Required If isOtherInfluence = 'Y'	Indicates if the identified party influences or exercises authority over	S = Some A = All	cftcBatch/cftcForm40/relatedEntity@toWhatDegree

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				some or all of the derivatives trading of the reporting trader		
EXPRESS OR IMPLIED AGREEMENT - CONTACT INFORMATION						
187.	Derivatives Trading Agreement Indicator	Question 13	Yes	Indicates if some or all of the derivatives trading of the reporting trader is subject to an express or implied agreement/understanding with any person(s) not already listed.	Y = Yes N = No	cftcBatch/cftcForm40/relatedEntity@isOtherAgreement
188.	Reportable Party Entity Type	Question 13	Conditional. Required if isOtherAgreement='Y'	For each reportable party, indicates such person is a legal entity or natural person	LE = Legal Entity NP = Natural Person	cftcBatch/cftcForm40/relatedEntity@entityType
IF REPORTABLE PARTY IS A LEGAL ENTITY						
189.	Reportable Party Legal	Question 13	Conditional. Required if	Legal name of each reportable		cftcBatch/cftcForm40/relatedEntity@legalEntityName

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Entity Name		entityType='LE' AND isOtherAgreement='Y'	party		
IF REPORTABLE PARTY IS A NATURAL PERSON						
190.	Reportable Party Last Name	Question 13	Conditional. Required if entityType='NP' AND isOtherAgreement='Y'	Surname of each reportable party		cftcBatch/cftcForm40/relatedEntity@lastName
191.	Reportable Party First Name	Question 13	Conditional. Required if entityType='NP' AND isOtherAgreement='Y'	Given or first in order name of each reportable party		cftcBatch/cftcForm40/relatedEntity@firstName
192.	Reportable Party Middle Name	Question 13	Conditional. Required If Information Available AND entityType='NP' AND isOtherAgreement='Y'	Middle name of each reportable party		cftcBatch/cftcForm40/relatedEntity@middleName
193.	Reportable Party Name Suffix	Question 13	Conditional. Required If Information	Generational or name suffix of each reportable		cftcBatch/cftcForm40/relatedEntity@nameSuffix

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
			Avaliable AND entityType='NP' AND isOtherAgreement='Y'	party		
FOR BOTH LEGAL ENTITIES AND NATURAL PERSONS						
194.	Reportable Party Street Address	Question 13	Conditional. Required if isOtherAgreement='Y'	Street address of each reportable party		cftcBatch/cftcForm40/relatedEntity@street
195.	Reportable Party Suite Number	Question 13	Conditional. Required If Information Avaliable AND isOtherAgreement='Y'	Suite number of each reportable party		cftcBatch/cftcForm40/relatedEntity@suite
196.	Reportable Party City	Question 13	Conditional. Required if isOtherAgreement='Y'	City of each reportable party		cftcBatch/cftcForm40/relatedEntity@city
197.	Reportable Party State	Question 13	Conditional. Required if isOtherAgreement='Y'	<u>State of each reportable party ISO 3166-2 geopolitical subdivision code: 1-3 alphanumeric characters</u>		cftcBatch/cftcForm40/relatedEntity@state

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
198.	Reportable Party Country	Question 13	Conditional. Required if isOtherAgreement='Y'	County of each reportable party ISO 3166-1 alpha-2 country code		cftcBatch/cftcForm40/relatedEntity@country
199.	Reportable Party Zip/Postal Code	Question 13	Conditional. Required if isOtherAgreement='Y'	Zip Code or postal code of each reportable party		cftcBatch/cftcForm40/relatedEntity@postalCode
200.	Reportable Party Phone Number	Question 13	Conditional. Required if isOtherAgreement='Y'	Phone number of each reportable party		cftcBatch/cftcForm40/relatedEntity@telephone
201.	Reportable Party Website	Question 13	Conditional. Required if Information Available AND isOtherAgreement='Y'	URL for the website of each reportable party		cftcBatch/cftcForm40/relatedEntity@website
202.	Reportable Party Email Address	Question 13	Conditional. Required if isOtherAgreement='Y'	Email address of each reportable party		cftcBatch/cftcForm40/relatedEntity@email
203.	Reportable Party NFA ID	Question 13	Conditional. Required if Information available isOtherAgreement='Y'	The identification number given to the reportable party by the National Futures		cftcBatch/cftcForm40/relatedEntity@NFAIdentifier

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				Association		
204.	Reportable Party Legal Entity Identifier	Question 13	Conditional. Required if Information available isOtherAgreement='Y'	The legal entity identifier (LEI) assigned to the reportable party by the LEI issuer		cftcBatch/cftcForm40/relatedEntity@legalEntityIdentifier
205.	Reportable Party Some/All Indicator	Question 13	Conditional. Required if isOtherAgreement='Y'	Indicates if some or all of the reporting trader's derivatives trading is subject to an agreement or understanding with the reportable party	S = Some A = All	cftcBatch/cftcForm40/relatedEntity@toWhatDegree
THE FOLLOWING FORM 40 QUESTIONS REFERENCE DEFINITIONS AND SUPPLEMENTAL LISTS THAT APPEAR IN THE FORM 40 ATTACHED AS AN APPENDIX TO THE OCR FINAL RULE²²						
206.	Commodity Index	Question 14i	Yes	Indicates if the reporting trader	Y = Yes N = No	cftcBatch/cftcForm40@isCommodityIndexTrader_invest

²² Reporting parties should visit this link to view the OCR Final Rule on the Federal Register: <https://www.federalregister.gov/articles/2013/11/18/2013-26789/ownership-and-control-reports-forms-102102s-4040s-and-71>
Visit this link to view a pdf copy of the OCR Final Rule: <http://www.cftc.gov/ucm/groups/public/@Irfederalregister/documents/file/2013-26789a.pdf>

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Trading Indicator (Paragraph A)			is engaged in Commodity Index Trading as defined in Paragraph A of the CIT definition		or
207.	Commodity Index Trading Indicator (Paragraph B)	Question 14ii	Yes	Indicates if the reporting trader is engaged in Commodity Index Trading as defined in Paragraph B of the CIT definition	Y = Yes N = No	cftcBatch/cftcForm40@isCommodityIndexTrader_manager
208.	CIT Long/Short Exposure Indicator	Question 14iia	Conditional. Required if isCommodityIndexTrader_manager = 'Y'	Indicates if the reporting trader [that is engaged in Commodity Index Trading as defined in Paragraph B and with respect to commodities in Supplemental List II] is pursuing aggregate long or	L = Long S = Short	cftcBatch/cftcForm40@commodityIndexExposure

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				short exposure with respect to such commodities or commodity groups. It is not necessary to respond to this question with respect to CIT that tracks the performance of multiple unrelated commodities or commodity groups (e.g., an investment in an exchange-traded fund that tracks the performance of an index representing commodities spanning multiple commodity groups).		

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
209.	Commodity Index Trading Start Date	Question 14iia	Conditional. Required if isCommodityIndexTrader_manager = 'Y' OR isCommodityIndexTrader_investor = 'Y'	For traders who are engaged in Commodity Index Trading as defined in Paragraph A or B of the CIT definition, indicates the month and year in which the trader first became engaged in such trading.	YYYY-MM-DD	cftcBatch/cftcForm40@initiatedCommodityIndexTrading
210.	Swap Dealer Indicator	Question 15	Yes	Indicates if the reporting trader is a swap dealer as defined in § 1.3(ppp) of regulations under the Commodity Exchange Act	Y = Yes N = No	cftcBatch/cftcForm40@isSwapDealer
211.	Major Swap Participant Indicator	Question 16	Yes	Indicates if the reporting trader is a Major Swap Participant, as defined in § 1.3(qqq) of regulations under	Y = Yes N = No	cftcBatch/cftcForm40@isSwapParticipant

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				the Commodity Exchange Act		
212.	Business Sector	Question 17	No	Each business sector and subsector that pertains to the business activities or occupation of the reporting trader	See Appendix B of this Technical Document – Supplemental List I for valid submission codes	cftcBatch/cftcForm40/natureOfBusiness@businessSector
213.	Business Subsector	Question 17	No	Each business sector and subsector that pertains to the business activities or occupation of the reporting trader	See Appendix B of this Technical Document – Supplemental List I for valid submission codes	cftcBatch/cftcForm40/natureOfBusiness@businessSubSector
214.	Other Description – Business Subsector	Question 17	No	Description of the subsector in the event that “Other” is selected.		cftcBatch/cftcForm40/natureOfBusiness@otherDescription
215.	Primary Subsector	Question 17	Conditional. Required if businessSubSect or is not null.	In the event that more than one (sub)sector is listed, an indication of the (sub)sector	Y=Yes N=No	cftcBatch/cftcForm40/natureOfBusiness@isPrimary

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				primarily describes the nature of the reporting trader's business		
216.	Commodities Traded	Question 18	No	Each individual commodity or commodity group that the reporting trader presently trades or expects to trade in the near future in derivatives markets (There is a supplementary list to select from in the form)	See Appendix B of this Technical Document – Supplemental List II for valid submission codes	cftcBatch/cftcForm40/natureOfBusiness@commodity
217.	Commodity Groups Traded	Question 18	No	Each individual commodity or commodity group that the reporting trader presently trades or expects to trade in the near future in derivatives	See Appendix B of this Technical Document – Supplemental List II for valid submission codes	cftcBatch/cftcForm40/natureOfBusiness@commodityGroup

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
				markets (There is a supplementary list to select from in the form)		
218.	Other Description – Commodity/ Commodity Group Traded	Question 18	No	A description of the commodity group and commodity in the event that the user selects “Other”.		cftcBatch/cftcForm40/natureOfBusiness@otherDescription
219.	Individual Commodity Business Purpose	Question 19	Conditional. Required if Individual Commodity is selected, then business purpose must be added.	For each listed individual commodity, indicates the business purposes for which the reporting trader uses derivatives markets (There is a supplementary list to select from in the form)	See Appendix B of this Technical Document – Supplemental List III for valid submission codes	cftcBatch/cftcForm40/natureOfBusiness@businessPurpose
220.	Individual Commodity Predominant Business Purpose	Question 19	Conditional Required if business purpose is not null.	If the reporting trader has more than one business purpose for trading in an	Y=Yes N=No	cftcBatch/cftcForm40/natureOfBusiness@isPrimary

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
	Indicator			individual commodity, indicates the predominant business purpose ²³		
221.	Reporting Trader Authorization Indicator	Question 20	Yes	Indicates if the submitter is duly authorized by the reporting trader to provide the information and representations submitted on this Form 40, and that information and representations are true and correct	Y = authorized N = not authorized	cftcBatch/cftcForm40/contact@isAuthorizedRepresentative
222.	Authorized Representative Last Name	Question 20	Yes	Surname of the authorized representative		cftcBatch/cftcForm40/contact@lastName

²³ When responding to question 19, reporting traders should use their discretion in determining the predominant business purpose. A “predominant business purpose” may include, for example, the business purpose that is predominant in terms of monetary value, or other business purpose deemed predominant by a reporting trader.

	Data Element	Form 40 Question Number	Required	CFTC Description, Purpose or Instruction	Valid Values	XML
223.	Authorized Representative First Name	Question 20	Yes	Given or first in order name of the authorized representative		cftcBatch/cftcForm40/contact@firstName
224.	Authorized Representative Middle Name	Question 20	Yes	Middle name of the authorized representative		cftcBatch/cftcForm40/contact@middleName
225.	Authorized Representative Name Suffix	Question 20	Yes	Generation or name suffix of the authorized representative		cftcBatch/cftcForm40/contact@nameSuffix
226.	Authorized Representative Position	Question 20	Yes	Job position of the authorized representative		cftcBatch/cftcForm40/contact@titleOrPosition
227.	Authorized Representative Submitted on behalf of	Question 20	Yes	Reporting Trader Name 40 was submitted on behalf of		cftcBatch/cftcForm40@onBehalfOf
228.	Date of Submission	Question 20	Yes	Date [indicated by the authorized representative] that the form was submitted to CFTC		cftcBatch/cftcForm40@submitDate

Appendix A: SFTP Account Registration

To register an SFTP account:

1. Browse to the Account Creation Page on the Commission's website, <https://services.cftc.gov/CreateCFTCAccount/CreateLoginAccount.aspx>.
2. Confirm that you have read the agreement and agree to abide by its terms by selecting the **Agreement to Terms of Use** check box and clicking **Agree**.



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For information, contact:
Susan Donlan
Chief, Market Information Group
New York Regional Office
sdonlan@cftc.gov
646-746-9784

Margaret Sweet
Assistant Branch Chief
Chicago Regional Office
msweet@cftc.gov
312-596-0609

CFTC DATA SUBMISSION ACCOUNT CREATION & USER REGISTRATION

These terms of use apply exclusively to your access to, and use of, CFTC data submission systems and do not alter in any way the terms or conditions of any other agreement you may have with the CFTC.

These terms of use may be changed at any time without notice by the CFTC.

If any provision of these terms of use shall be deemed unlawful, void, or for any reason unenforceable, then that provision shall be deemed severable from these terms of use and shall not affect the validity and enforceability of any remaining provisions.

User ID and Password
A unique User ID and Password will be generated by the CFTC and e-mailed to the e-mail address you provide. You agree to notify the CFTC immediately if you have reason to believe your password has been lost or stolen; your account has been accessed improperly; or attempts have been made to access your account without your permission. Only one individual or entity can use each User ID and Password. Accounts are non-transferable. User IDs and Passwords may be used only to submit valid data and may not be used for any fraudulent purposes. The CFTC reserves the right to reset any Passwords that have been lost or stolen or have not been used for more than 120 days.

Privacy Act Disclosure
The CFTC is authorized to collect reports and information from traders with derivatives positions pursuant to, among other sections, Sections 2(d), 4l, 4t and 9 of the Commodity Exchange Act (7 U.S.C. 2(d), 6l, 4t and 12). The information requested is used generally to gather information concerning the size and composition of the derivatives markets and to facilitate the CFTC's market and financial surveillance responsibilities. Information collected may be used by the Commission for investigations or litigation and, in limited circumstances, may be made public in accordance with provisions of the Commodity Exchange Act. Information may also be disclosed to other government agencies, and, in certain situations, it may be disclosed to any "registered entity" (as defined in Commodity Exchange Act Section 1a), to any registered futures association registered under Section 17 of the Commodity Exchange Act, and to any national securities exchange or national securities association registered with the Securities and Exchange Commission to assist those organizations in carrying out their self-regulatory responsibilities under the Securities Exchange Act of 1934, 15 USC 78a, *et seq.*

The complete listing of routine uses of the information contained in these records, in accordance with the Privacy Act, 5 U.S.C. §522a, and the Commission's rules thereunder, 17 CFR Part 146, is found in the Commission's compilation of its System of Records Notices, 76 Fed. Reg. 5974 (February 2, 2011), as may be amended. Disclosure of the information requested is mandatory for covered individuals and organizations, and failure to comply may result in the imposition of criminal or civil sanctions.

Contact Information
To report a lost or stolen Password, improper use of your account, or attempts to use your account, contact us immediately by telephone at 202-418-5600 or by email to DCITSCSC@cftc.gov.

Agreement to Terms of Use:
 I have read the usage agreement and agree to abide by its terms.

After selecting the Agree button, you will be directed to a page where you can request the User ID and Password required to enter and submit data to the CFTC.

AGREE >>>
DECLINE >>>

3. On the **Request Account Creation** page, supply the following information:
 - **Requester first name** – The first name of the user requesting the account
 - **Requester last name** – The last name (or surname) of the user requesting the account
 - **Company name** – The Company that will be supplying the data to the CFTC
 - **Email address** – The email address of the contact. The email address must be from the domain that will be submitting data; the Reporting Entities domain. Third party email domains (e.g., hotmail, yahoo, gmail) will not be accepted.
 - **Telephone** – The requester’s phone number, should CFTC need to confirm the user via a phone call.
 - Fax – Not required

REQUEST ACCOUNT CREATION FOR DATA SUBMISSION TO THE CFTC

Registration Restriction: [Email Confirmation Required.]

We recommend that you routinely change your password. The CFTC reserves the right to reset any Passwords that have been lost or stolen or have not been used for more than 120 days; The CFTC reserves the right to modify, suspend, deactivate, terminate or delete any account that violates any part of [Submission Account Creation & User Registration Agreement](#). Accounts are non-transferable.

Please enter the following information:

*Requester first name:

*Requester last name:

*Company name:

*Email address:

Email address must be the domain from which data submissions will be made. Third party email domains, e.g., hotmail, yahoo, will be rejected.

*Confirm email address:

*Telephone:

Fax:

*Required Field

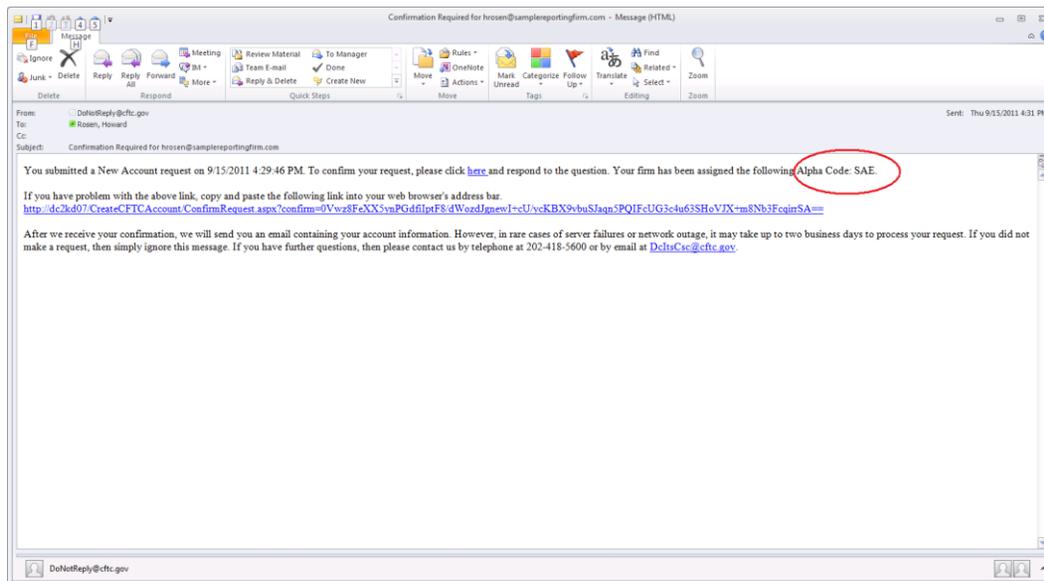
Once you have submitted the data, the request will be passed to CFTC’s Office of Data and Technology for approval.

REQUEST ACCOUNT CREATION FOR DATA SUBMISSION TO THE CFTC

The CFTC will review your request and send you an email after your request has been processed.

[Return to CFTC.gov](#)

4. Once the account creation is approved, you will be sent an email with a link to confirm the request. Note the **three-letter Alpha Code** that must be used for all data submissions made by this company to the CFTC.



5. Click the **confirmation link** in the email (or copy the URL into your web browser).
6. On the **Confirm Your Request** screen, confirm the account creation request by typing in the **three-letter Alpha Code** supplied in the email and click **Confirm**.

The screenshot shows the top navigation bar of the U.S. Commodity Futures Trading Commission website. The header includes the CFTC logo, the text "U.S. COMMODITY FUTURES TRADING COMMISSION" and "ENSURING THE INTEGRITY OF THE FUTURES & OPTIONS MARKETS", a search bar, and a list of links: RSS Feeds, Email Subscriptions, Events, Glossary, Forms, Careers, and Contact Us. Below the header is a dark navigation menu with links for ABOUT THE CFTC, PRESS ROOM, MARKET REPORTS, CONSUMER PROTECTION, INDUSTRY OVERSIGHT, INTERNATIONAL, LAW & REGULATION, and TRANSPARENCY. A "Follow Us" section contains social media icons for Facebook, Twitter, LinkedIn, and YouTube. The main content area has a "CONFIRM YOUR REQUEST" heading and a form with a text input field and a "Confirm" button. The text above the form reads: "Reporting firms enter your firm's Alpha Code. Service Bureau and other organizations enter your Confirmation Code. Click the Confirm button once complete."

Font Size: [A](#) [A](#) [A](#) // [Print](#) // [Bookmark](#)

CONFIRM YOUR REQUEST

Reporting firms enter your firm's Alpha Code. Service Bureau and other organizations enter your Confirmation Code. Click the Confirm button once complete.

A message will display indicating that your request has been submitted.

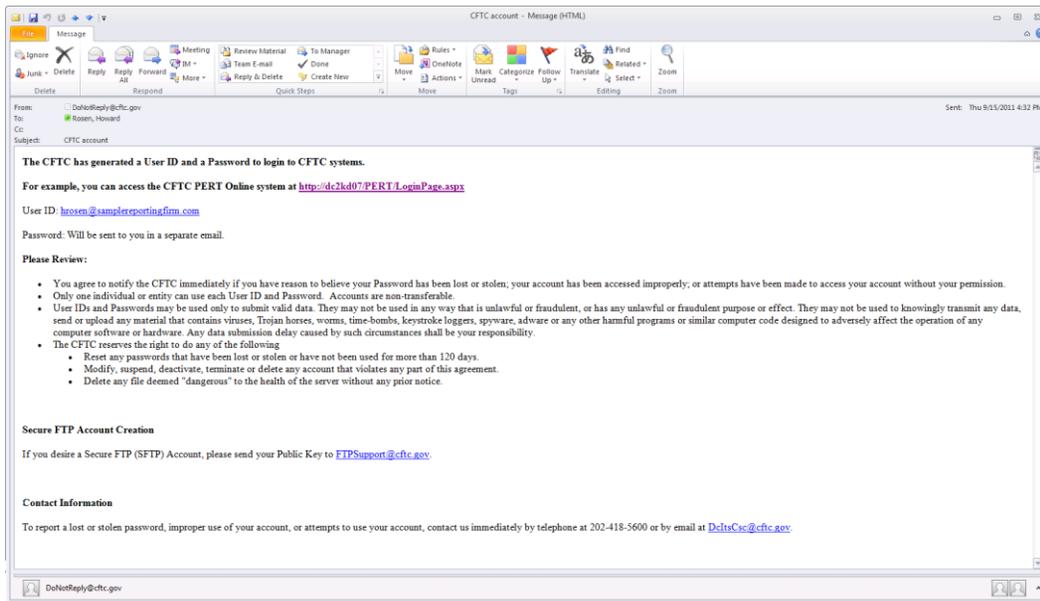
This screenshot is identical to the one above, showing the "CONFIRM YOUR REQUEST" form. However, the form is no longer visible. Instead, a red message is displayed below the heading: "Your request has been submitted and will be processed momentarily. Please check your email box."

Font Size: [A](#) [A](#) [A](#) // [Print](#) // [Bookmark](#)

CONFIRM YOUR REQUEST

Your request has been submitted and will be processed momentarily. Please check your email box.

You will receive two follow-on emails from the CFTC. Each email will address guidelines for using this account. The first email will contain your new user ID and instructions on converting your FTP Account to a Secure FTP Account.



7. All reporting entities must exchange their Public Keys with the CFTC to activate their Secure FTP account. Send your **Public Key** to FTPSupport@cftc.gov.

You will then receive the second email, which will contain your new password for the FTP account.

Appendix B: Supplemental Lists

Supplemental List I: List of Business Sectors and Subsectors²⁴

Business Sector Name	Business Sector Code	Business Subsector Name	Business Subsector Code
Agriculture and Forestry	SA	Oilseed Farming	SSA
Agriculture and Forestry	SA	Grain Farming	SSB
Agriculture and Forestry	SA	Fruit and Tree Nut Farming	SSC
Agriculture and Forestry	SA	Other Crop Farming (Specify)	SSD
Agriculture and Forestry	SA	Cattle Ranching and Farming	SSE
Agriculture and Forestry	SA	Hog and Pig Farming	SSF
Agriculture and Forestry	SA	Poultry and Egg Production	SSG
Agriculture and Forestry	SA	Sheep and Goat Farming	SSH
Agriculture and Forestry	SA	Other Animal Production	SSI
Agriculture and Forestry	SA	Forestry, Logging, or Timber Production	SSJ
Agriculture and Forestry	SA	Cooperative	SSK
Agriculture and Forestry	SA	Other (Specify)	SSL
Mining, Oil and Natural Gas Extraction	SB	Oil Exploration/Production	SSM
Mining, Oil and Natural Gas Extraction	SB	Natural Gas Exploration/Production	SSN
Mining, Oil and Natural Gas Extraction	SB	Coal Mining	SSO
Mining, Oil and Natural Gas Extraction	SB	Precious Metal Mining	SSP
Mining, Oil and Natural Gas Extraction	SB	Non-Precious Metal Mining	SSQ
Mining, Oil and Natural Gas Extraction	SB	Other (Specify)	SSR
Utilities	SC	Utility/Cooperative	SSS

²⁴ When reviewing the Appendix B Supplemental Lists in this Technical Document, reporting parties should also review and consult the OCR Final Rule, including the requirements of Form 40 included in the appendix thereto. This Form 40 is the basis for these Appendix B Supplemental Lists. Reporting parties should visit this link to view the OCR Final Rule on the Federal Register:

<https://www.federalregister.gov/articles/2013/11/18/2013-26789/ownership-and-control-reports-forms-102102s-4040s-and-71>

Visit this link to view a pdf copy of the OCR Final Rule: <http://www.cftc.gov/ucm/groups/public/@lrfederalregister/documents/file/2013-26789a.pdf>

Business Sector Name	Business Sector Code	Business Subsector Name	Business Subsector Code
Utilities	SC	Electric Power Generation	SST
Utilities	SC	Local Distribution Company	SSU
Utilities	SC	Natural Gas Distribution	SSV
Utilities	SC	Other (Specify)	SSW
Construction	SD	Building Construction	SSX
Construction	SD	Heavy and Civil Engineering Construction	SSY
Construction	SD	Other (Specify)	SSZ
Manufacturing, Refining and Processing	SE	Animal Food Manufacturing	SSAA
Manufacturing, Refining and Processing	SE	Grain Milling	SSAB
Manufacturing, Refining and Processing	SE	Oilseed Milling	SSAC
Manufacturing, Refining and Processing	SE	Sugar and Confectionery Product Manufacturing	SSAD
Manufacturing, Refining and Processing	SE	Fruit and Vegetable Preserving and Specialty Food Manufacturing	SSAE
Manufacturing, Refining and Processing	SE	Dairy Product Manufacturing	SSAF
Manufacturing, Refining and Processing	SE	Animal Slaughtering and Processing	SSAG
Manufacturing, Refining and Processing	SE	Bakeries	SSAH
Manufacturing, Refining and Processing	SE	Other Food Manufacturing	SSAI
Manufacturing, Refining and Processing	SE	Beverage Manufacturing Textile Mills	SSAJ
Manufacturing, Refining and Processing	SE	Textile Product Mills	SSAK
Manufacturing, Refining and Processing	SE	Apparel Manufacturing	SSAL
Manufacturing, Refining and Processing	SE	Wood Product Manufacturing	SSAM
Manufacturing, Refining and Processing	SE	Paper Manufacturing	SSAN
Manufacturing, Refining and Processing	SE	Pulp, Paper, and Paperboard Mills	SSAO
Manufacturing, Refining and Processing	SE	Petroleum and Coal Products Manufacturing	SSAP
Manufacturing, Refining and Processing	SE	Renewable Fuels Manufacturing	SSAQ
Manufacturing, Refining and Processing	SE	Petrochemical/Chemical Manufacturing	SSAR
Manufacturing, Refining and Processing	SE	Plastics and Rubber Products Manufacturing	SSAS
Manufacturing, Refining and Processing	SE	Natural Gas Processing	SSAT

Business Sector Name	Business Sector Code	Business Subsector Name	Business Subsector Code
Manufacturing, Refining and Processing	SE	Precious Metal Processor/Smelter	SSAU
Manufacturing, Refining and Processing	SE	Non-Precious Metal Processor	SSAV
Manufacturing, Refining and Processing	SE	Metals Fabricator	SSAW
Manufacturing, Refining and Processing	SE	Other (Specify)	SSAX
Wholesale Trade	SF	Lumber and Other Construction Materials Merchant Wholesalers	SSAY
Wholesale Trade	SF	Metal and Mineral Merchant Dealer	SSAZ
Wholesale Trade	SF	Grocery and Related Product Merchant Wholesaler	SSBA
Wholesale Trade	SF	Farm Product Raw Material Merchant Wholesalers	SSBB
Wholesale Trade	SF	Chemical and Allied Products Merchant Wholesalers	SSBC
Wholesale Trade	SF	Petroleum and Petroleum Products Merchant Wholesalers	SSBD
Wholesale Trade	SF	Natural Gas, Power Marketer	SSBE
Wholesale Trade	SF	Importer/Exporter (specify commodities)	SSBF
Wholesale Trade	SF	Other (Specify)	SSBG
Retail Trade	SG	Building Materials and Supplies Dealers	SSBH
Retail Trade	SG	Food and Beverage Stores	SSBI
Retail Trade	SG	Jeweler/Precious Metals Retailer	SSBJ
Retail Trade	SG	Vehicle Fuel Retailer/Convenience Store Operator	SSBK
Retail Trade	SG	Fuel Dealers	SSBL
Retail Trade	SG	Other (Specify)	SSBM
Transportation and Warehousing	SH	Air Transport	SSBN
Transportation and Warehousing	SH	Trucking	SSBO
Transportation and Warehousing	SH	Pipeline Transportation of Crude Oil	SSBP
Transportation and Warehousing	SH	Pipeline Transportation of Natural Gas	SSBQ
Transportation and Warehousing	SH	Farm Product Warehousing and Storage	SSBR

Business Sector Name	Business Sector Code	Business Subsector Name	Business Subsector Code
Transportation and Warehousing	SH	Energy Distributor (warehousing, storage)	SSBS
Transportation and Warehousing	SH	Other (Specify)	SSBT
End User (NOTE: May not be the only/primary subsector selected)	SI	Metals End User (Construction Co., Brass Mill, Steel Mill)	SSBU
End User (NOTE: May not be the only/primary subsector selected)	SI	Emissions End User (Factory, Industrial Cos.)	SSBV
End User (NOTE: May not be the only/primary subsector selected)	SI	Petroleum End User (Airline Cos. Municipalities, Industrial Cos., Trucking Cos.)	SSBW
Information	SJ	Other (Specify)	SSBX
Real Estate	SK	Other (Specify)	SSBY
Arts, Entertainment, and Recreation	SL	Performing Arts Companies	SSBZ
Arts, Entertainment, and Recreation	SL	Promoters of Performing Arts	SSCA
Arts, Entertainment, and Recreation	SL	Agents and Managers for Artists and Entertainers	SSCB
Arts, Entertainment, and Recreation	SL	Independent Artists, Writers, Performers	SSCC
Arts, Entertainment, and Recreation	SL	Other (Specify)	SSCD
Accommodation and Food Services	SM	Food Services	SSCE
Accommodation and Food Services	SM	Other (Specify)	SSCF
Public Administration	SN	Administration of Environmental Quality Programs	SSCG
Public Administration	SN	Administration of Economic Programs	SSCH
Public Administration	SN	Other (Specify)	SSCI

Supplemental List II: List of Commodity Group and Individual Commodities

Commodity Group Name	Commodity Group Code	Individual Commodity Name	Individual Commodity Code
Base Metals	N25	Copper	085
Base Metals	N25	Steel	192
Chemicals	N40		
Currency	F10		
Dairy Products	A25	Butter	050
Dairy Products	A25	Milk	052
Dairy Products	A25	Cheese	063
Electricity And Sources	N16	Uranium	016
Electricity And Sources	N16	Coal	024
Electricity And Sources	N16	Electricity	064
Emissions	N60		
Equities And Equity Indicies	XXX		
Fiber	A40	Cotton	033
Foodstuffs/Softs	A50	Coffee	083
Foodstuffs/Softs	A50	Frozen Concentrated Orange Juice	040
Foodstuffs/Softs	A50	Sugar	080
Foodstuffs/Softs	A50	Cocoa	073
Grains	A10	Wheat	001
Grains	A10	Corn	002
Grains	A10	Oats	004
Grains	A10	Rice	039
Interest Rates - U.S. Treasury	F30		
Livestock/Meat Products	A20	Live Cattle	057
Livestock/Meat Products	A20	Pork Bellies	056
Livestock/Meat Products	A20	Feeder Cattle	061
Livestock/Meat Products	A20	Lean Hogs	054
Natural Gas And Products	N13	Natural Gas	023

Commodity Group Name	Commodity Group Code	Individual Commodity Name	Individual Commodity Code
Natural Gas And Products	N13	Natural Gas Liquids	066
Oilseed And Products	A30	Soybeans	005
Oilseed And Products	A30	Soybean Oil	007
Oilseed And Products	A30	Soybean Meal	026
Other (Specify)	XXX		
Other Agricultural	A90		
Other Financial Instruments	F90		
Petroleum And Products	N10	Jet Fuel	262
Petroleum And Products	N10	Ethanol	025
Petroleum And Products	N10	Biodiesel	036
Petroleum And Products	N10	Fuel Oil	021
Petroleum And Products	N10	Heatingoil-Diesel-Gasoil	022
Petroleum And Products	N10	Gasoline	111
Petroleum And Products	N10	Naphtha	032
Petroleum And Products	N10	Crude Oil	067
Petroleum And Products	N10		
Plastics	N50		
Precious Metals	N20	Palladium	075
Precious Metals	N20	Platinum	076
Precious Metals	N20	Silver	084
Precious Metals	N20	Gold	088
Real Estate	E10		
Weather	N70		
Wood Products	N30	Lumber	058
Wood Products	N30	Pulp	069

Supplemental List III: List of Business Purposes of Commodity Derivatives Trading

Business Purpose Code	Business Purpose Name	Business Purpose Description	Business Purpose Example
11	Offsetting Cash or Spot Market Input Price Risk	Using derivative markets for commodities that are direct inputs or purchases for your business so as to offset price risk associated with your purchase of these inputs	You are a grain processor, so you use wheat futures to offset the price risk incidental to your cash purchases of wheat
12	Offsetting Cash or Spot Market Output Price Risk	Using derivative markets for commodities that are direct outputs or sales of your business so as to offset price risk associated with your sale of these outputs	You are a gasoline refiner, so you use gasoline futures to offset price risk associated with your production of gasoline
13	Offsetting Other Cash or Spot Market Price Risks (Cross Price Risk)	Using derivative markets for a commodity that is not a direct input or output of your business, but which has significant price correlations with the direct inputs or outputs of your business	You manufacture ethanol which is used as an additive in and competitor for gasoline as a combustive fuel. While you neither directly consume nor produce gasoline, you may find that the price you receive for your ethanol product is highly correlated with the price of gasoline, and therefore you reduce ethanol price risk by using gasoline futures contracts
14	Other Physical Risk Management Strategies	Managing other price risks incidental to the operation of your business or physical assets through the use of commodity derivative markets	You are a manufacturer with significant international sales, so you use foreign currency futures to offset risks associated with changes in the competitiveness of your exports and therefore the value of your physical assets such as production plants, land, machinery, etc
15	Client Futures/Options Trading	Fulfilling customer/client desire for portfolio diversification or exposure to various asset classes through your	You collect funds and execute trading strategies through the use of futures/options markets at the expressed intent and for the

Business Purpose Code	Business Purpose Name	Business Purpose Description	Business Purpose Example
		activity as a Commodity Pool Operator, Commodity Trading Advisor, or other similar role	sole benefit of clients
16	Managing Client Swaps Exposure	Reducing risk stemming from holding or executing swaps contracts on behalf of clients or customers through the use of futures/options markets	You sell crude oil swaps to a client and agree to accept the risk inherent in the index price. You offset this risk through purchases of crude oil futures, in effect transferring price risk from the client to another market participant
17	Making Markets/Providing Liquidity	Engaging in derivatives transactions to assume risk and help transfer ownership of derivative positions from one market participant to another, realizing the bid-ask spread as the return	You accept risk by buying and selling futures/options contracts so that other traders can move into and out of positions when they wish. You then find other traders willing to take the other side of those transactions
18	Arbitrage	Using derivative markets as part of a strategy designed to realize risk-free profit from pricing anomalies	You realize that the wheat futures contract is trading at a discount (even after considering storage, transport, etc.) relative to the wheat cash price, and therefore find it profitable to purchase the wheat futures contract, take delivery, and then resell the wheat in the cash market for a risk-free profit
19	Establishing Price Exposure	Using derivative markets as a way to express your belief in the future movement of market prices. This strategy does not involve offsetting risks incidental to your business, but instead involves directional trading	You conduct research and believe that crude oil prices are due to rise, so you take long futures positions in crude oil to profit from your predictions
20	Financial Asset Management	Using derivatives to diversify,	You hold Treasury bonds as a component

Business Purpose Code	Business Purpose Name	Business Purpose Description	Business Purpose Example
		rebalance, or otherwise allocate financial assets so that risks to the value of the investment portfolio are reduced. This strategy is used by entities such as pension funds and endowments to manage overall risk to their financial portfolios	of your investment portfolio, and use futures contracts to reduce overall portfolio risk that would result from falling bond prices
21	Managing Proprietary Swaps Exposure	Reducing risk stemming from your proprietary holding or execution of swaps contracts through the use of futures/options markets	You trade interest rate swaps as part of your business or investment strategy, and offset some of the risk inherent in those swaps through your use of Eurodollar futures markets
22	Other: Specify	List and explain your business purpose if the above categories do not adequately describe the reason you trade in a particular commodity derivative market	