

Version	Date	Rule Number	Change
2	6/1/2016	N/A	Selected Common Rules were split into individual rules for each form type. The Extended Rule Number column indicates the new rule numbers. Numbering convention: 4 series is for Form 102A, 5 series is for Form 102B, 6 series is for Form 102S.
2	6/1/2016	301	Split into individual rules for each form type: Rule 4301 for Form 102A, Rule 5301 for Form 102B, and Rule 6301 for Form 102S. Rule 6301 is currently inactive based on CFTC No-Action Letter No. 16-32.
2	6/1/2016	302	Added isCounterparty to the list of attributes.
2	6/1/2016	304	Split into individual rules for each form type: Rule 4304 for Form 102A, Rule 5304 for Form 102B, and Rule 6304 for Form 102S.
2	6/1/2016	305	Split into individual rules for each form type: Rule 4305 for Form 102A, Rule 5305 for Form 102B, and Rule 6305 for Form 102S.
2	6/1/2016	306	Split into individual rules for each form type: Rule 4306 for Form 102A, Rule 5306 for Form 102B, and Rule 6306 for Form 102S.
2	6/1/2016	307	Split into individual rules for each form type: Rule 4307 for Form 102A, Rule 5307 for Form 102B, and Rule 6307 for Form 102S.
2	6/1/2016	311	Split into individual rules for each form type: Rule 4311 for Form 102A, Rule 5311 for Form 102B, and Rule 6311 for Form 102S.
2	6/1/2016	312	This error has been changed from internal to external, upon implementation of an LEI reference database at CFTC. If an LEI is provided, it will be checked against LEI provider data for validity.
2	6/1/2016	313	This error has been changed from internal to external, upon implementation of an LEI reference database at CFTC. If an LEI is provided, it will be checked against LEI provider data for validity.
2	6/1/2016	314	This error has been changed from internal to external, upon implementation of an LEI reference database at CFTC. If an LEI is provided, it will be checked against LEI provider data for validity.
2	6/1/2016	315	Split into individual rules for each form type: Rule 4315 for Form 102A, Rule 5315 for Form 102B, and Rule 6315 for Form 102S.
2	6/1/2016	316	Split into individual rules for each form type: Rule 4316 for Form 102A, Rule 5316 for Form 102B, and Rule 6316 for Form 102S.
2	6/1/2016	317	Split into individual rules for each form type: Rule 4317 for Form 102A, Rule 5317 for Form 102B, and Rule 6317 for Form 102S.
2	6/1/2016	318	Split into individual rules for each form type: Rule 4318 for Form 102A, Rule 5318 for Form 102B, and Rule 6318 for Form 102S. Rule 6318 is currently inactive based on CFTC No-Action Letter No. 16-32.
2	6/1/2016	320	Split into individual rules for each form type: Rule 4320 for Form 102A, Rule 5320 for Form 102B, and Rule 6320 for Form 102S.
2	6/1/2016	321	Split into individual rules for each form type: Rule 4321 for Form 102A, Rule 5321 for Form 102B, and Rule 6321 for Form 102S.
2	6/1/2016	322	Split into individual rules for each form type: Rule 4322 for Form 102A, Rule 5322 for Form 102B, and Rule 6322 for Form 102S.
2	6/1/2016	323	Split into individual rules for each form type: Rule 4323 for Form 102A, Rule 5323 for Form 102B, and Rule 6323 for Form 102S.
2	6/1/2016	324	Split into individual rules for each form type: Rule 4324 for Form 102A, Rule 5324 for Form 102B, and Rule 6324 for Form 102S.

2	6/1/2016	326	Split into individual rules for each form type: Rule 4326 for Form 102A, Rule 5326 for Form 102B, and Rule 6326 for Form 102S.
2	6/1/2016	330	Added to require country field when Foreign Privacy Exception attribute is marked as yes.
2	6/1/2016	331	Added to require country field when Foreign Privacy Exception attribute is marked as yes.
2	6/1/2016	426	Modified to check for required fields for Trading Account Owner only if Foreign Privacy Exception is 'N'.
2	6/1/2016	427	Modified to check for required fields for Trading Account Owner only if Foreign Privacy Exception is 'N'.
2	6/1/2016	428	Modified to check for required fields for Trading Account Owner only if Foreign Privacy Exception is 'N'.
2	6/1/2016	429	Modified to check for required fields for Trading Account Owner only if Foreign Privacy Exception is 'N'.
2	6/1/2016	433	Modified to check for required fields for Trading Account Controller only if Foreign Privacy Exception is 'N' and if Client Reporting Issue is '0'.
2	6/1/2016	434	Modified to check for required fields for Trading Account Controller only if Foreign Privacy Exception is 'N' and if Client Reporting Issue is '0'. The contact fields that were made optional in CFTC No-Action Letter No. 16-33 are currently not required (indicated by strike-through).
2	6/1/2016	443	For a Trading Account Owner, the Foreign Privacy Law Exception Indicator is required.
2	6/1/2016	444	For a Trading Account Controller the Foreign Privacy Law Exception Indicator is required.
2	6/1/2016	445	For a Trading Account Controller the Client Reporting Issue Indicator is required.
2	6/1/2016	508	Modified to check for required fields for Volume Threshold Account Owner only if Foreign Privacy Exception is 'N'.
2	6/1/2016	509	Modified to check for required fields for Volume Threshold Account Owner only if Foreign Privacy Exception is 'N'.
2	6/1/2016	510	Modified to check for required fields for Volume Threshold Account Owner only if Foreign Privacy Exception is 'N'.
2	6/1/2016	511	Modified to check for required fields for Volume Threshold Account Owner only if Foreign Privacy Exception is 'N'.
2	6/1/2016	513	Modified to check for required fields for Volume Threshold Account Controller only if Foreign Privacy Exception is 'N' and if Client Reporting Issue is '0'.
2	6/1/2016	514	Modified to check for required fields for Volume Threshold Account Controller only if Foreign Privacy Exception is 'N' and if Client Reporting Issue is '0'. The contact fields that were made optional in CFTC No-Action Letter No. 16-33 are currently not required (indicated by strike-through).
2	6/1/2016	515	For a Volume Threshold Account Controller the Client Reporting Issue Indicator is required.
2	6/1/2016	517	For a Volume Threshold Account Owner, the Foreign Privacy Law Exception Indicator is required.
2	6/1/2016	518	For a Volume Threshold Account Controller the Foreign Privacy Law Exception Indicator is required.
2	6/1/2016	602	Modified to be an external warning. Per CFTC No-Action Letter No. 16-32, this information is optional.

2	6/1/2016	603	Modified to be an external warning. Per CFTC No-Action Letter No. 16-32, this information is optional.
2	6/1/2016	604	Modified to be an external warning. Per CFTC No-Action Letter No. 16-32, this information is optional.
2	6/1/2016	605	Modified to be an external warning. Per CFTC No-Action Letter No. 16-32, this information is optional.
2	6/1/2016	606	Modified to be an external warning. Per CFTC No-Action Letter No. 16-32, this information is optional.
2	6/1/2016	607	Modified to be an external warning. Per CFTC No-Action Letter No. 16-32, this information is optional.
2	6/1/2016	608	Modified to be an external warning. Per CFTC No-Action Letter No. 16-32, this information is optional.
2	6/1/2016	609	Changed to inactive, due to CFTC No-Action Letter No. 16-32: Consolidated Account Controller is optional.
2	6/1/2016	610	Modified to be an external warning. Per CFTC No-Action Letter No. 16-32, this information is optional.
2	6/1/2016	611	Modified to be an external warning. Per CFTC No-Action Letter No. 16-32, this information is optional.
2	6/1/2016	612	Changed to inactive - latest Technical Guidance makes these fields optional
2	6/1/2016	613	Changed to inactive - latest Technical Guidance makes this field optional
2	6/1/2016	614	New validation for counterparty
2	6/1/2016	615	New validation for counterparty. Rule made inactive, due to CFTC No-Action Letter No. 16-32: Consolidated Account Controller and Owner data is optional.
2	6/1/2016	616	New validation for counterparty
2	6/1/2016	617	New validation for counterparty
2	6/1/2016	618	New validation for counterparty
2	6/1/2016	622	New validation for counterparty
2	6/1/2016	700-series	Where the optionalOrSuppFieldsSeparatelyReported indicator is set to 'Y', the data should be available in LEI provider data. These rules had previously been inactivated pending implementation of LEI reference database. Rules have been changed to external warnings and will provide feedback where data cannot be matched to the LEI database.
2	6/1/2016	701	Split into individual rules for each form type: Rule 4701 for Form 102A, Rule 5701 for Form 102B, and Rule 6701 for Form 102S.
2	6/1/2016	702	Split into individual rules for each form type: Rule 4702 for Form 102A, Rule 5702 for Form 102B, and Rule 6702 for Form 102S.
2	6/1/2016	703	Split into individual rules for each form type: Rule 4703 for Form 102A, Rule 5703 for Form 102B, and Rule 6703 for Form 102S.
2	6/1/2016	704	Split into individual rules for each form type: Rule 4704 for Form 102A, Rule 5704 for Form 102B, and Rule 6704 for Form 102S.
Legend:			
In the following tabs, rules that are inactive due to CFTC No-Action Letter No. 16-32 or CFTC No-Action Letter No. 16-33 are formatted with strike-through.			

Rule Number	Rule Description	Valid Values	Error Message	XML Path	XML Condition
101	FormNumber should be '102' for Form 102 submissions.	102	Invalid Form Number	cftcBatch/cftcForm102/@formNumber	cftcBatch/cftcForm102/@formNumber
102	AccountCategory for Form102 should always be populated and can be only 'SA' or 'VT' or 'CA'.	SA = Special Account (102A), VT = Volume Threshold Account (102B), CA = Consolidated Account (102S)	Invalid Reportable Account type Indicator	cftcBatch/cftcForm102/@accountCategory	cftcBatch/cftcForm102/@formNumber='102'
103	ReportingFirmEntityType can only be 'LE' at the Form102coversheet level.	'LE'	Invalid Reporting Firm Entity Type. ReportingFirmEntityType should only be 'LE' at the Form102 coversheet level	cftcBatch/cftcForm102/@entityType	cftcBatch/cftcForm102/@formNumber='102'
104	Form Coversheet required fields when OptionalOrSuppFieldsSeparatelyReported='N'.		Missing Required fields	cftcBatch/cftcForm102/@legalEntityName cftcBatch/cftcForm102/@street cftcBatch/cftcForm102/@city cftcBatch/cftcForm102/@state cftcBatch/cftcForm102/@country cftcBatch/cftcForm102/@postalCode cftcBatch/cftcForm102/contact/@lastName cftcBatch/cftcForm102/contact/@firstName cftcBatch/cftcForm102/contact/@titleOrPosition cftcBatch/cftcForm102/contact/@telephone cftcBatch/cftcForm102/contact/@email cftcBatch/cftcForm102/@website	cftcBatch/cftcForm102/@optionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/contact/@isAuthorizedRepresentative='N'
105	Required Reporting Firm Type.		Missing Reporting Firm Type. At least one reportingFirmtype (futures commission merchant/ clearing member/ Foreign Broker/ Swap Dealer/ Other) needs to be identified if OptionalOrSuppFieldsSeparatelyReported = 'N'.	cftcBatch/cftcForm102/@isFCM or cftcBatch/cftcForm102/@isCM or cftcBatch/cftcForm102/@isFB or cftcBatch/cftcForm102/@isSwapDealer or cftcBatch/cftcForm102/@isOther	cftcBatch/cftcForm102/@optionalOrSuppFieldsSeparatelyReported='N'
106	Required Reporting Firm Type Description when Reporting Firm Type is selected as "Other".		Missing description for Other reporting firm type. (You have selected Other in reporting firm type.)	cftcBatch/cftcForm102/@otherDescription	cftcBatch/cftcForm102/@optionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/@isOther='Y'
107	Required Signature Information		Missing Signature Information	cftcBatch/cftcForm102/@isSigned cftcBatch/cftcForm102/@onBehalfOf cftcBatch/cftcForm102/@submitDate	

Rule Number	RuleDescription	Valid Values	Error Message	XML Path	XML Condition
201	Required authorized representative information		Missing Required Signature information	cftcBatch/cftcForm102/contact@lastName cftcBatch/cftcForm102/contact/@firstName cftcBatch/cftcForm102/contact/@titleOrPosition	cftcBatch/cftcForm102/contact/@isAuthorizedRepresentative='Y'
202	For every Form 102 submission please provide one and only one signature information		For every Form 102 submission please provide one and only one signature information	cftcBatch/cftcForm102/contact	cftcBatch/cftcForm102/contact/@isAuthorizedRepresentative='Y'

Qsn # in Final Rule	Rule Number	Extended Rule Number	Rule Description	Valid Values	Error Message	XML Path	XML Condition
	301	4301	For an non Omnibus account, Owner and controller should be reported		For an non Omnibus account , Owner and controller should be reported	cftcBatch/cftcForm102/relatedEntity/@isController cftcBatch/cftcForm102/relatedEntity/@isOwner	cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/@originReason<>'CC'
		5301	For an non Omnibus account, Owner and controller should be reported		For an non Omnibus account , Owner and controller should be reported	cftcBatch/cftcForm102/relatedEntity/@isController cftcBatch/cftcForm102/relatedEntity/@isOwner	cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/@originReason<>'CC'
		6301	For an non Omnibus account, Owner and controller should be reported		For an non Omnibus account , Owner and controller should be reported	cftcBatch/cftcForm102/relatedEntity/@isController cftcBatch/cftcForm102/relatedEntity/@isOwner	cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/@originReason<>'CC'
	302		If a related entity is provided , at least one of the following must be set to 'Y': isOriginator, isOwner, isController, isCounterparty, or isFCM.		If a related entity is provided, at least one of the following must be set to 'Y': Originator, Owner, Controller, isCounterparty, or U.S Futures Clearing Merchant.	cftcBatch/cftcForm102/relatedEntity/@isOriginator cftcBatch/cftcForm102/relatedEntity/@isOwner cftcBatch/cftcForm102/relatedEntity/@isController cftcBatch/cftcForm102/relatedEntity/@isCounterparty cftcBatch/cftcForm102/relatedEntity/@isFCM	cftcBatch/cftcForm102/relatedEntity
	303		If a related account is provided , at least one of the following must be set to 'Y': isOmnibus, isTradingAccount, or isSpecialAccount.		If a related account is provided, at least one of the following must be set to 'Y': isOmnibus, isTradingAccount, or isSpecialAccount.	cftcBatch/cftcForm102/relatedAccount/@isOmnibus cftcBatch/cftcForm102/relatedAccount/@isTradingAccount cftcBatch/cftcForm102/relatedAccount/@isSpecialAccount	cftcBatch/cftcForm102/relatedAccount
	304	4304	If a related account related entity is provided, at least one of the following must be set to 'Y': isOriginator, isOwner, or isController.		If a related account related entity is provided, at least one of the following must be set to 'Y': Originator, Owner, or Controller.	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOriginator cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController	cftcBatch/cftcForm102/relatedAccount/relatedEntity
		5304	If a related account related entity is provided, at least one of the following must be set to 'Y': isOriginator, isOwner, or isController.		If a related account related entity is provided, at least one of the following must be set to 'Y': Originator, Owner, or Controller.	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOriginator cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController	cftcBatch/cftcForm102/relatedAccount/relatedEntity
		6304	If a related account related entity is provided, at least one of the following must be set to 'Y': isOriginator, isOwner, or isController.		If a related account related entity is provided, at least one of the following must be set to 'Y': Originator, Owner, or Controller.	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOriginator cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController	cftcBatch/cftcForm102/relatedAccount/relatedEntity
	305	4305	If a related account related entity is provided, isFCM indicator must not be set to 'Y'		If a related account related entity is provided, isFCM indicator must be set to 'N'	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isFCM	cftcBatch/cftcForm102/relatedAccount/relatedEntity
		5305	If a related account related entity is provided, isFCM indicator must not be set to 'Y'		If a related account related entity is provided, isFCM indicator must be set to 'N'	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isFCM	cftcBatch/cftcForm102/relatedAccount/relatedEntity
		6305	If a related account related entity is provided, isFCM indicator must not be set to 'Y'		If a related account related entity is provided, isFCM indicator must be set to 'N'	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isFCM	cftcBatch/cftcForm102/relatedAccount/relatedEntity
	306	4306	For an Omnibus account, Owner and controller should not be reported		For an Omnibus account , Owner and controller should not be reported	cftcBatch/cftcForm102/relatedEntity/@isController cftcBatch/cftcForm102/relatedEntity/@isOwner OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController	cftcBatch/cftcForm102/@isOmnibus='Y' OR cftcBatch/cftcForm102/relatedAccount/@isOmnibus='Y'
		5306	For an Omnibus account, Owner and controller should not be reported		For an Omnibus account , Owner and controller should not be reported	cftcBatch/cftcForm102/relatedEntity/@isController cftcBatch/cftcForm102/relatedEntity/@isOwner OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController	cftcBatch/cftcForm102/@isOmnibus='Y' OR cftcBatch/cftcForm102/relatedAccount/@isOmnibus='Y'
		6306	For an Omnibus account, Owner and controller should not be reported		For an Omnibus account , Owner and controller should not be reported	cftcBatch/cftcForm102/relatedEntity/@isController cftcBatch/cftcForm102/relatedEntity/@isOwner OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController	cftcBatch/cftcForm102/@isOmnibus='Y' OR cftcBatch/cftcForm102/relatedAccount/@isOmnibus='Y'

307	4307	Contact information must not be provided when EntityType is 'NP'	Contact information must not be provided when EntityType is 'NP'	cftcBatch/cftcForm102/relatedEntity/contact OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact	cftcBatch/cftcForm102/relatedEntity/@entityType='NP' OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@entityType='NP'
	5307	Contact information must not be provided when EntityType is 'NP'	Contact information must not be provided when EntityType is 'NP'	cftcBatch/cftcForm102/relatedEntity/contact OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact	cftcBatch/cftcForm102/relatedEntity/@entityType='NP' OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@entityType='NP'
	6307	Contact information must not be provided when EntityType is 'NP'	Contact information must not be provided when EntityType is 'NP'	cftcBatch/cftcForm102/relatedEntity/contact OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact	cftcBatch/cftcForm102/relatedEntity/@entityType='NP' OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@entityType='NP'
311	4311	Identify duplicate forms within a file.	Duplicate records exist in the file.	cftcBatch/cftcForm102/@reportingIdentifier cftcBatch/cftcForm102/@formNumber cftcBatch/cftcForm102/@accountCategory cftcBatch/cftcForm102/@accountNumber cftcBatch/cftcForm102/@informationType	cftcBatch/cftcForm102/@reportingIdentifier cftcBatch/cftcForm102/@formNumber cftcBatch/cftcForm102/@accountCategory cftcBatch/cftcForm102/@accountNumber cftcBatch/cftcForm102/@informationType
	5311	Identify duplicate forms within a file.	Duplicate records exist in the file.	cftcBatch/cftcForm102/@reportingIdentifier cftcBatch/cftcForm102/@formNumber cftcBatch/cftcForm102/@accountCategory cftcBatch/cftcForm102/@accountNumber cftcBatch/cftcForm102/@informationType	cftcBatch/cftcForm102/@reportingIdentifier cftcBatch/cftcForm102/@formNumber cftcBatch/cftcForm102/@accountCategory cftcBatch/cftcForm102/@accountNumber cftcBatch/cftcForm102/@informationType
	6311	Identify duplicate forms within a file.	Duplicate records exist in the file.	cftcBatch/cftcForm102/@reportingIdentifier cftcBatch/cftcForm102/@formNumber cftcBatch/cftcForm102/@accountCategory cftcBatch/cftcForm102/@accountNumber cftcBatch/cftcForm102/@informationType	cftcBatch/cftcForm102/@reportingIdentifier cftcBatch/cftcForm102/@formNumber cftcBatch/cftcForm102/@accountCategory cftcBatch/cftcForm102/@accountNumber cftcBatch/cftcForm102/@informationType
312		The legal entity identifier (LEI) should not be null in LEI database when optionalOrSuppFieldsSeparatelyReported indicator is set to 'Y'	The legal entity identifier (LEI) must be available in the LEI provider data.	Not Applicable	cftcBatch/cftcForm102/@legalEntityIdentifier cftcBatch/cftcForm102/@optionalOrSuppFieldsSeparatelyReported='Y'
313		The legal entity identifier (LEI) should not be null in LEI database when optionalOrSuppFieldsSeparatelyReported indicator is set to 'Y'	The legal entity identifier (LEI) must be available in the LEI provider data.	Not Applicable	cftcBatch/cftcForm102/relatedEntity/@legalEntityIdentifier cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y'
314		The legal entity identifier (LEI) should not be null in LEI database when optionalOrSuppFieldsSeparatelyReported indicator is set to 'Y'	The legal entity identifier (LEI) must be available in the LEI provider data.	Not Applicable	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@legalEntityIdentifier cftcBatch/cftcForm102/relatedAccount/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y'
315	4315	Combination of State and Country does not match ISO3166-2 Country/Subdivision data.	Combination of State and Country does not match ISO3166-2 Country/Subdivision data.	cftcBatch/cftcForm102/@state cftcBatch/cftcForm102/@country	cftcBatch/cftcForm102/@state cftcBatch/cftcForm102/@country
	5315	Combination of State and Country does not match ISO3166-2 Country/Subdivision data.	Combination of State and Country does not match ISO3166-2 Country/Subdivision data.	cftcBatch/cftcForm102/@state cftcBatch/cftcForm102/@country	cftcBatch/cftcForm102/@state cftcBatch/cftcForm102/@country
	6315	Combination of State and Country does not match ISO3166-2 Country/Subdivision data.	Combination of State and Country does not match ISO3166-2 Country/Subdivision data.	cftcBatch/cftcForm102/@state cftcBatch/cftcForm102/@country	cftcBatch/cftcForm102/@state cftcBatch/cftcForm102/@country
316	4316	Combination of State and Country does not match ISO3166-2 Country/Subdivision data.	Combination of State and Country does not match ISO3166-2 Country/Subdivision data.	cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@state cftcBatch/cftcForm102/relatedAccount/relatedEntity/@country	cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@state cftcBatch/cftcForm102/relatedAccount/relatedEntity/@country
	5316	Combination of State and Country does not match ISO3166-2 Country/Subdivision data.	Combination of State and Country does not match ISO3166-2 Country/Subdivision data.	cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@state cftcBatch/cftcForm102/relatedAccount/relatedEntity/@country	cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@state cftcBatch/cftcForm102/relatedAccount/relatedEntity/@country
	6316	Combination of State and Country does not match ISO3166-2 Country/Subdivision data.	Combination of State and Country does not match ISO3166-2 Country/Subdivision data.	cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@state cftcBatch/cftcForm102/relatedAccount/relatedEntity/@country	cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@state cftcBatch/cftcForm102/relatedAccount/relatedEntity/@country

	317	4317	Invalid email address		Invalid email address	cftcBatch/cftcForm102/contact/@email OR cftcBatch/cftcForm102/relatedEntity/@email OR cftcBatch/cftcForm102/relatedEntity/contact/@email OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@email OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@email	N/A
		5317	Invalid email address		Invalid email address	cftcBatch/cftcForm102/contact/@email OR cftcBatch/cftcForm102/relatedEntity/@email OR cftcBatch/cftcForm102/relatedEntity/contact/@email OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@email OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@email	N/A
		6317	Invalid email address		Invalid email address	cftcBatch/cftcForm102/contact/@email OR cftcBatch/cftcForm102/relatedEntity/@email OR cftcBatch/cftcForm102/relatedEntity/contact/@email OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@email OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@email	N/A
	318	4318	For an non Omnibus account, Owner and controller should be reported		For an non Omnibus account , Owner and controller should be reported	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController	cftcBatch/cftcForm102/relatedAccount/@isOmnibus='N'
		5318	For an non Omnibus account, Owner and controller should be reported		For an non Omnibus account , Owner and controller should be reported	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController	cftcBatch/cftcForm102/relatedAccount/@isOmnibus='N'
		6318	For an non Omnibus account, Owner and controller should be reported		For an non Omnibus account , Owner and controller should be reported	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController	cftcBatch/cftcForm102/relatedAccount/@isOmnibus='N'
	319		If a related entity is provided with ISFCM set to 'Y', then none of the following must be set to 'Y': isOriginator, isOwner, isController.		If a related entity is provided with ISFCM set to 'Y', then none of the following must be set to 'Y': isOriginator, isOwner, isController.	cftcBatch/cftcForm102/relatedEntity/@isOriginator cftcBatch/cftcForm102/relatedEntity/@isOwner cftcBatch/cftcForm102/relatedEntity/@isController	cftcBatch/cftcForm102/relatedEntity/@isFCM='Y'
	320	4320	Invalid NFAIdentifier		Invalid NFAIdentifier	cftcBatch/cftcForm102/@NFAIdentifier OR cftcBatch/cftcForm102/relatedEntity/@NFAIdentifier OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@NFAIdentifier	N/A
		5320	Invalid NFAIdentifier		Invalid NFAIdentifier	cftcBatch/cftcForm102/@NFAIdentifier OR cftcBatch/cftcForm102/relatedEntity/@NFAIdentifier OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@NFAIdentifier	N/A
		6320	Invalid NFAIdentifier		Invalid NFAIdentifier	cftcBatch/cftcForm102/@NFAIdentifier OR cftcBatch/cftcForm102/relatedEntity/@NFAIdentifier OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@NFAIdentifier	N/A
	321	4321	Invalid LeglEntityIdentifier		Invalid LeglEntityIdentifier	cftcBatch/cftcForm102/@legalEntityIdentifier OR cftcBatch/cftcForm102/relatedEntity/@legalEntityIdentifier OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@legalEntityIdentifier	N/A
		5321	Invalid LeglEntityIdentifier		Invalid LeglEntityIdentifier	cftcBatch/cftcForm102/@legalEntityIdentifier OR cftcBatch/cftcForm102/relatedEntity/@legalEntityIdentifier OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@legalEntityIdentifier	N/A
		6321	Invalid LeglEntityIdentifier		Invalid LeglEntityIdentifier	cftcBatch/cftcForm102/@legalEntityIdentifier OR cftcBatch/cftcForm102/relatedEntity/@legalEntityIdentifier OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@legalEntityIdentifier	N/A

322	4322	Invalid EmployerLEI		Invalid EmployerLEI	cftcBatch/cftcForm102/contact/@employerLEI OR cftcBatch/cftcForm102/relatedEntity/@employerLEI OR cftcBatch/cftcForm102/relatedEntity/contact/@employerLEI OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@employerLEI OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@employerLEI	N/A
	5322	Invalid EmployerLEI		Invalid EmployerLEI	cftcBatch/cftcForm102/contact/@employerLEI OR cftcBatch/cftcForm102/relatedEntity/@employerLEI OR cftcBatch/cftcForm102/relatedEntity/contact/@employerLEI OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@employerLEI OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@employerLEI	N/A
	6322	Invalid EmployerLEI		Invalid EmployerLEI	cftcBatch/cftcForm102/contact/@employerLEI OR cftcBatch/cftcForm102/relatedEntity/@employerLEI OR cftcBatch/cftcForm102/relatedEntity/contact/@employerLEI OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@employerLEI OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@employerLEI	N/A
323	4323	Invalid EmployerNFAIdentifier		Invalid EmployerNFAIdentifier	cftcBatch/cftcForm102/contact/@employerNFAIdentifier OR cftcBatch/cftcForm102/relatedEntity/@employerNFAIdentifier OR cftcBatch/cftcForm102/relatedEntity/contact/@employerNFAIdentifier OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@employerNFAIdentifier OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@employerNFAIdentifier	N/A
	5323	Invalid EmployerNFAIdentifier		Invalid EmployerNFAIdentifier	cftcBatch/cftcForm102/contact/@employerNFAIdentifier OR cftcBatch/cftcForm102/relatedEntity/@employerNFAIdentifier OR cftcBatch/cftcForm102/relatedEntity/contact/@employerNFAIdentifier OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@employerNFAIdentifier OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@employerNFAIdentifier	N/A
	6323	Invalid EmployerNFAIdentifier		Invalid EmployerNFAIdentifier	cftcBatch/cftcForm102/contact/@employerNFAIdentifier OR cftcBatch/cftcForm102/relatedEntity/@employerNFAIdentifier OR cftcBatch/cftcForm102/relatedEntity/contact/@employerNFAIdentifier OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@employerNFAIdentifier OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@employerNFAIdentifier	N/A
324	4324	Invalid Telephone		Invalid Telephone	cftcBatch/cftcForm102/relatedEntity/@telephone OR cftcBatch/cftcForm102/relatedEntity/contact/@telephone OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@telephone OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@telephone	N/A
	5324	Invalid Telephone		Invalid Telephone	cftcBatch/cftcForm102/relatedEntity/@telephone OR cftcBatch/cftcForm102/relatedEntity/contact/@telephone OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@telephone OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@telephone	N/A

		6324	Invalid Telephone		Invalid Telephone	cftcBatch/cftcForm102/relatedEntity/@telephone OR cftcBatch/cftcForm102/relatedEntity/contact/@telephone OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@telephone OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@telephone	N/A
	325		The isCounterparty flag should only be set to Yes when the Account Category is equal to CA (Consolidated Account)		The isCounterparty flag should only be set to Yes when the Account Category is equal to CA (Consolidated Account)	cftcBatch/cftcForm102/relatedEntity	cftcBatch/cftcForm102/@accountCategory<>'CA'
	326	4326	The isCounterparty flag should not be set for Related Account Related Entity		The isCounterparty flag should not be set for Related Account Related Entity	cftcBatch/cftcForm102/relatedAccount/relatedEntity	cftcBatch/cftcForm102/relatedAccount/relatedEntity cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isCounterParty='Y'
		5326	The isCounterparty flag should not be set for Related Account Related Entity		The isCounterparty flag should not be set for Related Account Related Entity	cftcBatch/cftcForm102/relatedAccount/relatedEntity	cftcBatch/cftcForm102/relatedAccount/relatedEntity cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isCounterParty='Y'
		6326	The isCounterparty flag should not be set for Related Account Related Entity		The isCounterparty flag should not be set for Related Account Related Entity	cftcBatch/cftcForm102/relatedAccount/relatedEntity	cftcBatch/cftcForm102/relatedAccount/relatedEntity cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isCounterParty='Y'
	330	330	For any Form 102, if a related entity specifies that Foreign Privacy Law Exception Indicator is 'Y' then the country field is required.		If Foreign Privacy Law Exception Indicator is 'Y' then country must be provided.	cftcBatch/cftcForm102/relatedEntity@country	cftcBatch/cftcForm102/relatedEntity@foreignPrivacyException='Y'
	331	331	For a trading account, if a related entity specifies that Foreign Privacy Law Exception Indicator is 'Y' then the country field is required.		For a Trading Account, if Foreign Privacy Law Exception Indicator is 'Y' then country must be provided.	cftcBatch/cftcForm102/relatedAccount/relatedEntity@country	cftcBatch/cftcForm102/relatedAccount/relatedEntity@foreignPrivacyException='Y'

Qsn # in Final Rule	Rule Number	Rule Description	Valid Values	Error Message	XML Path	XML Condition
2	401	OriginReason must always be populated for Special Accounts (Form102A) and can only be 'OC', 'OM', or 'CC'	CC = Control of a reportable position OC = Ownership and control of a reportable position OM = Omnibus account with a reportable position	OriginReason must be provided only for special accounts and can only be 'OC', 'OM', or 'CC'.	cftcBatch/cftcForm102/@originReason	cftcBatch/cftcForm102/@accountCategory='SA'
2,3	402	AccountName should always be populated if AccountNumber is populated for SpecialAccount		Special account name must be provided if Special account number is provided.	cftcBatch/cftcForm102/@accountName	cftcBatch/cftcForm102/@accountNumber cftcBatch/cftcForm102/@accountCategory='SA'
2,5	403	If the reported Special Account is an OmnibusAccount, accountClass must be populated	H-House C-Customer	AccountClass of an omnibus special account must be provided.	cftcBatch/cftcForm102/@accountClass	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@originReason='OM'
2,6	404	If OriginReason is 'OC' then indicate that the specialaccount is an owner		Special Account Owner Indicator must be set to 'Y' if and only if OriginReason is 'OC'	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@originReason='OC'	cftcBatch/cftcForm102/relatedEntity/@isOwner='Y'
2,7	407	If OriginReason is 'CC' or 'OC' then indicate that the specialaccount is a controller		Special Account Controller Indicator must be set to 'Y' if and only if OriginReason is 'CC' or 'OC'	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@originReason in ('CC','OC')	cftcBatch/cftcForm102/relatedEntity/@isController='Y'
2,7	408	If OriginReason is 'CC' or 'OC' then one and only one special account controller must be provided		If OriginReason is 'CC' or 'OC' then one and only one Special Account Controller must be provided	cftcBatch/cftcForm102/relatedEntity	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@originReason in ('CC','OC') cftcBatch/cftcForm102/relatedEntity/@isController='Y'
2,7,6	409	If a Special Account Controller Type or Special Account Owner is 'LE' and if optionalOrSuppFieldsSeparatelyReported is 'N' then the following fields must be provided: LegalEntityName street City state Country PostalCode Telephone Email ContactLastName ContactFirstName ContactTitle ContactRelationship ContactTelephone ContactEmail		If a Special Account Controller Entity Type is 'LE' or Special Account Owner is 'LE' and if OptionalOrSuppFieldsSeparatelyReported is 'N', then the required fields must be provided.	cftcBatch/cftcForm102/relatedEntity@legalEntityName cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/@email cftcBatch/cftcForm102/relatedEntity/contact/@lastName cftcBatch/cftcForm102/relatedEntity/contact/@firstName cftcBatch/cftcForm102/relatedEntity/contact/@titleOrPosition cftcBatch/cftcForm102/relatedEntity/contact/@relationship cftcBatch/cftcForm102/relatedEntity/contact/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@email	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@originReason in ('CC','OC') cftcBatch/cftcForm102/relatedEntity/@entityType='LE' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/relatedEntity/@isController='Y' cftcBatch/cftcForm102/relatedEntity/@isOwner='Y'

2,7,6	410	If a Special Account Controller Type is 'NP' or Special Account Owner Type is 'NP' and if optionalOrSuppFieldsSeparatelyReported is 'N' then the following fields must be provided: FirstName LastName street City state Country PostalCode Telephone Email		If a Special Account Controller Entity Type is 'NP' or a Special Account Owner Entity Type is 'NP' and if OptionalOrSuppFieldsSeparatelyReported is 'N', then the required fields must be provided.	cftcBatch/cftcForm102/relatedEntity/@firstName cftcBatch/cftcForm102/relatedEntity/@lastName cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/@email	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@originReason in ('CC','OC') cftcBatch/cftcForm102/relatedEntity/@entityType='NP' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/relatedEntity/@isController='Y' cftcBatch/cftcForm102/relatedEntity/@isOwner='Y'
2,8	411	If OriginReason is 'OM' then isOmnibus is 'Y'		Special Account Omnibus Indicator must be set to 'Y' if and only if OriginReason is 'OM'	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@originReason='OM'	cftcBatch/cftcForm102/@isOmnibus='Y'
2,8	412	If isOriginator is 'Y' then isOmnibus is 'Y'		If the related entity is an Originator, then isOmnibus must be set to 'Y'.	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@originReason='OM'	cftcBatch/cftcForm102/@isOmnibus='Y' cftcBatch/cftcForm102/relatedEntity/@isOriginator='Y'
2,8	413	If OriginReason is 'OM' then one and only one Omnibus Originator must be provided		If OriginReason is 'OM' then one and only one Special Account Omnibus Originator must be provided	cftcBatch/cftcForm102/relatedEntity	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@originReason='OM' cftcBatch/cftcForm102/@isOmnibus='Y' cftcBatch/cftcForm102/relatedEntity/@isOriginator='Y'
2,8	414	OmnibusAccountOriginatorEntity must only be 'LE'		An Special Account Omnibus Account Originator Entity Type can only be 'LE'	cftcBatch/cftcForm102/relatedEntity/@entityType='LE'	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@originReason='OM' cftcBatch/cftcForm102/@isOmnibus='Y' cftcBatch/cftcForm102/relatedEntity/@isOriginator='Y'
2,8	415	OmnibusAccountOriginatorEntity must only be 'LE' and if optionalOrSuppFieldsSeparatelyReported='N' then the following fields must be provided: LegalEntityName street City state Country PostalCode Telephone ContactLastName ContactFirstName ContactTitle ContactRelationship ContactTelephone ContactEmail		If optionalOrSuppFieldsSeparatelyReported is 'N', then Omnibus Account Originator required fields must be provided.	cftcBatch/cftcForm102/relatedEntity@legalEntityName cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@lastName cftcBatch/cftcForm102/relatedEntity/contact/@firstName cftcBatch/cftcForm102/relatedEntity/contact/@titleOrPosition cftcBatch/cftcForm102/relatedEntity/contact/@relationship cftcBatch/cftcForm102/relatedEntity/contact/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@email	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@originReason='OM' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/@isOmnibus='Y' cftcBatch/cftcForm102/relatedEntity/@isOriginator='Y'
2,10	416	isTradingAccount is 'Y' only if it is a relatedAccount. For a relatedaccount at least one tradingaccount must be provided if the reporting entity is acting as a clearing member.		Special Account Trading Account indicator is set to 'Y' only if a related account is reported.	cftcBatch/cftcForm102/relatedAccount cftcBatch/cftcForm102/@accountCategory='SA'	cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='Y'
2,10	417	If isTradingAccount is 'Y' then isCM should be set to 'Y'		Trading accounts are to be provided only for special accounts which are reported for an entity acting as a clearing member. If Special Account Trading Account indicator is set to 'Y' then the reporting firm type clearing member indicator must be set to 'Y'.	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isCM='Y'	cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='Y'

2,10(i)	419	One and only one Trading Account omnibus originator must be provided		One and only one Trading Account omnibus originator must be provided	cftcBatch/cftcForm102/relatedAccount/relatedEntity	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isCM='Y' cftcBatch/cftcForm102/relatedAccount/@isOmnibus='Y' cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOriginator='Y'
2,10(i)	420	If Trading Account isOmnibus is set to 'Y' then isOriginator must be set to 'Y'		If a trading account omnibus indicator is set to 'Y' then Trading account omnibus originator indicator must also be set to 'Y'	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOriginator='Y'	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/relatedAccount/@isOmnibus='Y' cftcBatch/cftcForm102/@isCM='Y' cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='Y'
2,10(i)	421	Trading Account Omnibus Account Entity Type can only be 'LE'.	LE-Legal Entity	A trading account identified as an omnibus account can only be a 'LE'.	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@entityType	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isCM='Y' cftcBatch/cftcForm102/relatedAccount/@isOmnibus='Y' cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOriginator='Y'
2,10(i)	422	Trading Account Omnibus Account Entity Type can only be 'LE' and if optionalSuppFieldsSeparatelyReported is 'N' then the following Trading account Omnibus account required fields must be provided: LegalEntityName Street City state Country PostalCode Telephone ContactLastName ContactFirstName ContactTitle ContactRelationship ContactTelephone ContactEmail	LE-Legal Entity	If optionalOrSuppFieldsSeparatelyReported is 'N', then trading account omnibus account originator required fields must be provided.	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@legalEntityName cftcBatch/cftcForm102/relatedAccount/relatedEntity/@street cftcBatch/cftcForm102/relatedAccount/relatedEntity/@city cftcBatch/cftcForm102/relatedAccount/relatedEntity/@state cftcBatch/cftcForm102/relatedAccount/relatedEntity/@country cftcBatch/cftcForm102/relatedAccount/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedAccount/relatedEntity/@telephone cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@lastName cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@firstName cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@titleOrPosition cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@relationship cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@telephone cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@email	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isCM='Y' cftcBatch/cftcForm102/relatedAccount/@isOmnibus='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOriginator='Y' cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@entityType='LE'
2,10(ii)	423	If an entity acting as a clearing member provides owner information for a trading account, then the trading account cannot be an omnibus account. (Omnibus flag cannot be set to 'Y'.)		If an entity acting as a clearing member provides owner information for a trading account, then the trading account cannot be an omnibus account. (Omnibus flag cannot be set to 'Y'.)	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isCM='Y' cftcBatch/cftcForm102/relatedAccount/@isOmnibus='N' cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='Y'	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner='Y'
2,6	424	If OriginReason is 'OC' then at least one SpecialAccountOwner must be provided		If OriginReason is 'OC' then at least one SpecialAccountOwner must be provided	cftcBatch/cftcForm102/relatedEntity	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@originReason = 'OC'
2,10(ii)	425	For each non-omnibus trading account reported by an entity acting as a clearing member, at least one trading account owner must be provided		For each non-omnibus trading account reported by an entity acting as a clearing member, at least one trading account owner must be provided	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isCM='Y' cftcBatch/cftcForm102/relatedAccount/@isOmnibus='N' cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='Y'	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner='Y'
2,10(ii)	426	If Trading Account Owner Type is 'LE' and if Optional Fields or Supplemental Fields is 'N' then Legal or registered name of the trading account owner must be provided.		If Trading Account Owner Entity Type is 'LE' and if optionalOrSuppFieldsSeparatelyReported is 'N', then the legal or registered name of the trading account owner must be provided.	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@legalEntityName	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isCM='Y' cftcBatch/cftcForm102/relatedAccount/@isOmnibus='N' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@entityType='LE' cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity@foreignPrivacyException='N'

2,10(ii)	427	If Trading Account Owner Type is 'LE' and if Optional Fields or Supplemental Fields is 'N' and followOnInformationToCome is 'N' then the following fields must be provided: Street City State Country PostalCode Telephone ContactLastName ContactFirstName ContactTitle ContactRelationship ContactTelephone ContactEmail		If a trading account owner entity type is a 'LE', required fields must be provided if optionalOrSuppFieldsSeparatelyReported is 'N' and if followOnInformationToCome is 'N' .	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@street cftcBatch/cftcForm102/relatedAccount/relatedEntity/@city cftcBatch/cftcForm102/relatedAccount/relatedEntity/@state cftcBatch/cftcForm102/relatedAccount/relatedEntity/@country cftcBatch/cftcForm102/relatedAccount/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedAccount/relatedEntity/@telephone cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@lastName cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@firstName cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@titleOrPosition cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@telephone cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@email cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@relationship	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isCM='Y' cftcBatch/cftcForm102/relatedAccount/@isOmnibus='N' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/@followOnInformationToCome='N' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@entityType='LE' cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity@foreignPrivacyException='N'
2,10(ii)	428	If Trading Account Owner Type is 'NP' and if Optional Fields or Supplemental Fields is 'N' then Trading account owner natural person name must be provided		If a trading account owner entity type is a 'NP', name must be provided if optionalOrSuppFieldsSeparatelyReported is 'N'.	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@lastName cftcBatch/cftcForm102/relatedAccount/relatedEntity/@firstName	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isCM='Y' cftcBatch/cftcForm102/relatedAccount/@isOmnibus='N' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@entityType='NP' cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity@foreignPrivacyException='N'
2,10(ii)	429	If Trading Account Owner Type is 'NP' and if Optional Fields or Supplemental Fields is 'N' and followOnInformationToCome is 'N' then the following fields must be provided: Street City State Country PostalCode Telephone Email		If a trading account owner entity type is a 'NP', required fields must be provided if optionalOrSuppFieldsSeparatelyReported is 'N' and if followOnInformationToCome is 'N'.	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@street cftcBatch/cftcForm102/relatedAccount/relatedEntity/@city cftcBatch/cftcForm102/relatedAccount/relatedEntity/@state cftcBatch/cftcForm102/relatedAccount/relatedEntity/@country cftcBatch/cftcForm102/relatedAccount/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedAccount/relatedEntity/@telephone cftcBatch/cftcForm102/relatedAccount/relatedEntity/@email	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isCM='Y' cftcBatch/cftcForm102/relatedAccount/@isOmnibus='N' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/@followOnInformationToCome='N' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@entityType='NP' cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity@foreignPrivacyException='N'
2,10(iii)	430	If an entity acting as a clearing member provides controller information for a trading account, then the trading account cannot be an omnibus account. (Omnibus flag cannot be set to 'Y'.)		If an entity acting as a clearing member provides controller information for a trading account, then the trading account cannot be an omnibus account. (Omnibus flag cannot be set to 'Y'.)	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isCM='Y' cftcBatch/cftcForm102/relatedAccount/@isOmnibus='N' cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='Y'	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController='Y'
2,10(iii)	431	For each non-omnibus trading account reported by an entity acting as a clearing member, at least one trading account controller must be provided		For each non-omnibus trading account reported by an entity acting as a clearing member, at least one trading account controller must be provided	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isCM='Y' cftcBatch/cftcForm102/relatedAccount/@isOmnibus='N' cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='Y'	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController='Y'
2,10(iii)	432	Trading Account Controller Entity Type must only be 'NP'	NP = Natural Person	Trading Account Controller Entity Type must only be 'NP'	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@entityType='NP'	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isCM='Y' cftcBatch/cftcForm102/relatedAccount/@isOmnibus='N' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController='Y' cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='Y'
2,10(iii)	433	Trading account controller natural person name must be provided		Trading account controller natural person name must be provided	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@lastName cftcBatch/cftcForm102/relatedAccount/relatedEntity/@firstName	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isCM='Y' cftcBatch/cftcForm102/relatedAccount/@isOmnibus='N' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@entityType='NP' cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity@clientReportingIssue=0 cftcBatch/cftcForm102/relatedAccount/relatedEntity@foreignPrivacyException='N'

2,10(iii)	434	If followOnInformationToCome = 'N' then the following fields must be provided for Trading Account Controller Street City State Country PostalCode Telephone EmployerName Title Relationship Email		If followOnInformationToCome is 'N', then trading account controller required fields must be provided.	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@street cftcBatch/cftcForm102/relatedAccount/relatedEntity/@city cftcBatch/cftcForm102/relatedAccount/relatedEntity/@state cftcBatch/cftcForm102/relatedAccount/relatedEntity/@country cftcBatch/cftcForm102/relatedAccount/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedAccount/relatedEntity/@telephone cftcBatch/cftcForm102/relatedAccount/relatedEntity/@employerName cftcBatch/cftcForm102/relatedAccount/relatedEntity/@titleOrPosition cftcBatch/cftcForm102/relatedAccount/relatedEntity/@relationship cftcBatch/cftcForm102/relatedAccount/relatedEntity/@email	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isCM='Y' cftcBatch/cftcForm102/relatedAccount/@isOmnibus='N' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@entityType='NP' cftcBatch/cftcForm102/@followOnInformationToCome='N' cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity/clientReportingIssue=0 cftcBatch/cftcForm102/relatedAccount/relatedEntity@foreignPrivacyException='N'
11	435	If a reporting firm indicated that it is a foreign broker, then the reporting firm's U.S. futures commission merchant must be provided. At least one U.S.FCM related entity must be provided		If and only if a reporting firm indicated that it is a foreign broker, then U.S. Futures Commissions Merchant indicator must be set to 'Y' for at least one related entity.	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isFB='Y'	cftcBatch/cftcForm102/relatedEntity/@isFCM='Y'
11	436	U.S. Futures Commission Merchant Entity Type can only be 'LE'	LE = Legal Entity	The U.S. Futures Commissions Merchant entity type can only be 'LE'.	cftcBatch/cftcForm102/relatedEntity/@entityType	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isFB='Y' cftcBatch/cftcForm102/relatedEntity/@isFCM='Y'
11	437	U.S. Futures Commission Merchant Entity Type can only be 'LE' and must be provided only if reporting firm is a ForeignBroker. The following fields are required fields: LegalEntityName Street City State Country PostalCode ContactLastName ContactFirstName ContactTitle ContactTelephone ContactEmail	LE = Legal Entity	If the reporting firm is a Foreign Broker, then the required fields for the U.S. futures commission merchant must be provided.	cftcBatch/cftcForm102/relatedEntity/@legalEntityName cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/contact/@lastName cftcBatch/cftcForm102/relatedEntity/contact/@firstName cftcBatch/cftcForm102/relatedEntity/contact/@titleOrPosition cftcBatch/cftcForm102/relatedEntity/contact/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@email	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isFB='Y' cftcBatch/cftcForm102/relatedEntity/@entityType='LE' cftcBatch/cftcForm102/relatedEntity/@isFCM='Y'
2,7	441	For a special account when OriginReason is 'CC' and when the Special account is not an omnibus, controller information should be reported		For a special account when OriginReason is 'CC' and when the Special account is not an omnibus, controller information should be reported	cftcBatch/cftcForm102/relatedEntity/@isController	cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/@originReason='CC'
NAL	443	For a Trading Account Owner, the Foreign Privacy Law Exception Indicator is required.		For a Trading Account Owner, Foreign Privacy Law Exception Indicator must be provided.	cftcBatch/cftcForm102/relatedAccount/relatedEntity@foreignPrivacyException	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isCM='Y' cftcBatch/cftcForm102/relatedAccount/@isOmnibus='N' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='Y'
NAL	444	For a Trading Account Controller, the Foreign Privacy Law Exception Indicator is required.		For a Trading Account Controller, Foreign Privacy Law Exception Indicator must be provided.	cftcBatch/cftcForm102/relatedAccount/relatedEntity@foreignPrivacyException	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isCM='Y' cftcBatch/cftcForm102/relatedAccount/@isOmnibus='N' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@entityType='NP' cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='Y'
NAL	445	For a Trading Account Controller, the Client Reporting Issue Indicator is required.		For a Trading Account Controller, the Client Reporting Issue Indicator must be provided.	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@clientReportingIssue	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isCM='Y' cftcBatch/cftcForm102/relatedAccount/@isOmnibus='N' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController='Y' cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='Y'

Qsn # in Final Rule	Rule Number	Rule Description	Valid Values	Error Message	XML Path	XML Condition
2	501	TradingAccountNumber, ShortCodes, and ReportingMarket must be provided for volume threshold account		The Trading Account Number, Short Code(s), and associated Reporting Market must be provided for the reported volume threshold account.	cftcBatch/cftcForm102/@accountNumber cftcBatch/cftcForm102/relatedAcctInfo/@accountShortCode cftcBatch/cftcForm102/relatedAcctInfo/@marketIdentifier	cftcBatch/cftcForm102/@accountCategory='VT'
3	502	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 of a 102A, provide the associated special account number(s).		Account Number must be provided for a volume threshold account that was previously identified as trading account that comprises a special account(s).	cftcBatch/cftcForm102/relatedAccount/@accountNumber cftcBatch/cftcForm102/@accountCategory='VT' cftcBatch/cftcForm102/relatedAccount/@isSpecialAccount='Y' cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='N'	cftcBatch/cftcForm102/relatedAccount
4	503	If the reported Volume Threshold Account is being reported as an Omnibus Account indicate whether the Volume Threshold Account Omnibus Account is a house or customer account of the reporting firm.	H = House C = Customer	If the reported Volume Threshold Account is being reported as an Omnibus Account indicate whether the Volume Threshold Account Omnibus Account is a house or customer account of the reporting firm.	cftcBatch/cftcForm102/@accountClass	cftcBatch/cftcForm102/@accountCategory='VT' cftcBatch/cftcForm102/@isOmnibus='Y'
4	504	One and only one Volume Threshold Account Omnibus Account Originator must be provided.		One and only one Volume Threshold Account Omnibus Account Originator must be provided	cftcBatch/cftcForm102/relatedEntity	cftcBatch/cftcForm102/@accountCategory='VT' cftcBatch/cftcForm102/@isOmnibus='Y' cftcBatch/cftcForm102/relatedEntity/@isOriginator='Y'
4	505	Volume Threshold Account Omnibus Account Originator Indicator must be set to 'Y' only if Volume Threshold Account Omnibus Account Indicator is set to 'Y'		Volume Threshold Account Omnibus Account Originator Indicator must be set to 'Y' if and only if Volume Threshold Account Omnibus Account Indicator is set to 'Y'	cftcBatch/cftcForm102/relatedEntity/@isOriginator='Y'	cftcBatch/cftcForm102/@accountCategory='VT' cftcBatch/cftcForm102/@isOmnibus='Y'
4	506	Volume Threshold Account Omnibus Account Originator Entity Type must only be 'LE'	LE	Volume Threshold Account Omnibus Account Originator Entity Type must only be 'LE'	cftcBatch/cftcForm102/relatedEntity/@entityType='LE'	cftcBatch/cftcForm102/@accountCategory='VT' cftcBatch/cftcForm102/@isOmnibus='Y' cftcBatch/cftcForm102/relatedEntity/@isOriginator='Y'
4	507	If Volume Threshold Account Omnibus Account Originator optionalOrSuppFieldsSeparatelyReported is 'N' then the following fields must be provided: LegalEntityName Street City State Country PostalCode Telephone ContactLastName ContactFirstName ContactTitle ContactRelationship ContactTelephone ContactEmail		The Volume Threshold Account Omnibus Account Originator required fields must be provided.	cftcBatch/cftcForm102/relatedEntity@legalEntityName cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@lastName cftcBatch/cftcForm102/relatedEntity/contact/@firstName cftcBatch/cftcForm102/relatedEntity/contact/@titleOrPosition cftcBatch/cftcForm102/relatedEntity/contact/@relationship cftcBatch/cftcForm102/relatedEntity/contact/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@email	cftcBatch/cftcForm102/@accountCategory='VT' cftcBatch/cftcForm102/@isOmnibus='Y' cftcBatch/cftcForm102/relatedEntity/@isOriginator='Y' cftcBatch/cftcForm102/relatedEntity/@entityType='LE' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='N'
5	508	If a Volume Threshold Account Owner is 'LE' and if optionalOrSuppFieldsSeparatelyReported is 'N' then the legal entity name must be provided.		If a Volume Threshold Account Owner is a legal entity and if optional/supplemental fields have not been marked as separately provided to an LEI provider, then the legal entity name must be provided.	cftcBatch/cftcForm102/relatedEntity@legalEntityName	cftcBatch/cftcForm102/@accountCategory='VT' cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/relatedEntity/@isOwner='Y' cftcBatch/cftcForm102/relatedEntity/@entityType='LE' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/relatedEntity@foreignPrivacyException='N'

5	509	If a Volume Threshold Account Owner is 'LE', optionalOrSuppFieldsSeparatelyReported is 'N' and if followOnInformationToCome is 'N' then the required fields must be provided. Street City State Country PostalCode Telephone ContactLastName ContactFirstName ContactTitle ContactRelationship ContactTelephone ContactEmail		If required fields have not been identified as separately reported or part of follow-on information to be provided, they must be provided in this submission.	cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@lastName cftcBatch/cftcForm102/relatedEntity/contact/@firstName cftcBatch/cftcForm102/relatedEntity/contact/@titleOrPosition cftcBatch/cftcForm102/relatedEntity/contact/@relationship cftcBatch/cftcForm102/relatedEntity/contact/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@email	cftcBatch/cftcForm102/@accountCategory='VT' cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/relatedEntity/@isOwner='Y' cftcBatch/cftcForm102/relatedEntity/@entityType='LE' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/@followOnInformationToCome='N' cftcBatch/cftcForm102/relatedEntity@foreignPrivacyException='N'
5	510	If a Volume Threshold Account Owner is 'NP' and if optionalOrSuppFieldsSeparatelyReported is 'N' then the Owner first name and last name must be provided.		If a Volume Threshold Account Owner is a natural person and if optional/supplemental fields have not been separately provided to an LEI provider, then the owner first name and last name must be provided.	cftcBatch/cftcForm102/relatedEntity/@lastName cftcBatch/cftcForm102/relatedEntity/@firstName	cftcBatch/cftcForm102/@accountCategory='VT' cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/relatedEntity/@isOwner='Y' cftcBatch/cftcForm102/relatedEntity/@entityType='NP' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/relatedEntity@foreignPrivacyException='N'
5	511	If a Volume Threshold Account Owner is 'NP', optionalOrSuppFieldsSeparatelyReported is 'N' and if followOnInformationToCome is 'N' then the required fields must be provided. Street City State Country PostalCode Telephone Email		If required fields have not been identified as separately reported or part of follow-on information to be provided, they must be provided in this submission.	cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/@email	cftcBatch/cftcForm102/@accountCategory='VT' cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/relatedEntity/@isOwner='Y' cftcBatch/cftcForm102/relatedEntity/@entityType='NP' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/@followOnInformationToCome='N' cftcBatch/cftcForm102/relatedEntity@foreignPrivacyException='N'
6	512	Volume threshold account controller must only be 'NP'		The Volume threshold account controller must be only a natural person	cftcBatch/cftcForm102/relatedEntity/@entityType='NP'	cftcBatch/cftcForm102/@accountCategory='VT' cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/relatedEntity/@isController='Y'
6	513	Volume threshold account controller natural person name must always be provided		The Volume threshold account controller name must be provided.	cftcBatch/cftcForm102/relatedEntity/@lastName cftcBatch/cftcForm102/relatedEntity/@firstName	cftcBatch/cftcForm102/@accountCategory='VT' cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/relatedEntity/@isController='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity@clientReportingIssue=0 cftcBatch/cftcForm102/relatedEntity@foreignPrivacyException='N'
6	514	Volume Threshold Account controller required fields must be provided if followoninformation is 'N'		If required fields have not been identified as part of follow-on information to be provided, they must be provided in this submission.	cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/@email cftcBatch/cftcForm102/relatedEntity/@employerName cftcBatch/cftcForm102/relatedEntity/@titleOrPosition cftcBatch/cftcForm102/relatedEntity/@relationship	cftcBatch/cftcForm102/@accountCategory='VT' cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/relatedEntity/@isController='Y' cftcBatch/cftcForm102/@followOnInformationToCome='N' cftcBatch/cftcForm102/relatedEntity@clientReportingIssue=0 cftcBatch/cftcForm102/relatedEntity@foreignPrivacyException='N'

NAL	515	For a Volume Threshold Account Controller, the Client Reporting Issue Indicator is required.		For a Volume Threshold Account Controller, the Client Reporting Issue Indicator must be provided.	cftcBatch/cftcForm102/relatedEntity@clientReportingIssue	cftcBatch/cftcForm102/@accountCategory = 'VT' cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/relatedEntity/@isController='Y'
NAL	517	For a Volume Threshold Account Owner, the Foreign Privacy Law Exception Indicator is required.		For a Volume Threshold Account Owner, the Foreign Privacy Law Exception Indicator is required.	cftcBatch/cftcForm102/relatedEntity@foreignPrivacyException	cftcBatch/cftcForm102/@accountCategory = 'VT' cftcBatch/cftcForm102/@OptionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/relatedEntity@isOwner='Y'
NAL	518	For a Volume Threshold Account Controller, the Foreign Privacy Law Exception Indicator is required.		For a Volume Threshold Account Controller, the Foreign Privacy Law Exception Indicator is required.	cftcBatch/cftcForm102/relatedEntity@foreignPrivacyException	cftcBatch/cftcForm102/@accountCategory = 'VT' cftcBatch/cftcForm102/@OptionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/relatedEntity@isController='Y'

Qsn # in Final Rule	Rule Number	Rule Description	Valid Values	Error Message	XML Path	XML Condition
3(ii)	602	If the reported Consolidated Account is being reported as an Omnibus Account , there must be one and only one originator		A Consolidated Omnibus Account must have one and only one originator.	cftcBatch/cftcForm102/relatedEntity	cftcBatch/cftcForm102/@accountCategory='CA' cftcBatch/cftcForm102/@isOmnibus='Y' cftcBatch/cftcForm102/relatedEntity/@isOriginator='Y'
3(ii)	603	An Omnibus Account Originator Entity value can only be 'LE'	LE = Legal Entity	An Omnibus Account Originator can only be a legal entity.	cftcBatch/cftcForm102/relatedEntity/@entityType	cftcBatch/cftcForm102/@accountCategory='CA' cftcBatch/cftcForm102/@isOmnibus='Y' cftcBatch/cftcForm102/relatedEntity/@isOriginator='Y'
3(ii)	604	For an Omnibus Account Originator, if optionalOrSuppFieldsSeparatelyReported is 'N' then the following fields must be provided: LegalEntityName street City state Country PostalCode Telephone ContactLastName ContactFirstName ContactTitle ContactRelationship ContactTelephone ContactEmail		For an Omnibus Account Originator, if OptionalOrSuppFieldsSeparatelyReported is 'N', then the required fields must be provided.	cftcBatch/cftcForm102/relatedEntity@legalEntityName cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@lastName cftcBatch/cftcForm102/relatedEntity/contact/@firstName cftcBatch/cftcForm102/relatedEntity/contact/@titleOrPosition cftcBatch/cftcForm102/relatedEntity/contact/@relationship cftcBatch/cftcForm102/relatedEntity/contact/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@email	cftcBatch/cftcForm102/@accountCategory='CA' cftcBatch/cftcForm102/@isOmnibus='Y' cftcBatch/cftcForm102/relatedEntity/@isOriginator='Y' cftcBatch/cftcForm102/relatedEntity/@entityType='LE' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='N'
3(iii)	605	If the reported Consolidated Account is being reported as Non-Omnibus Account , there must be at least one owner.		A Non-Omnibus Consolidated Account must have at least one owner.	cftcBatch/cftcForm102/relatedEntity	cftcBatch/cftcForm102/@accountCategory='CA' cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/relatedEntity/@isOwner='Y'
3(iii)	606	If the reported Consolidated Account is being reported as an non-Omnibus Account , originator information should not exist.		A Non-Omnibus Account Originator cannot have Originator information	cftcBatch/cftcForm102/relatedEntity	cftcBatch/cftcForm102/@accountCategory='CA' cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/relatedEntity/@isOriginator='Y'

3(iii)	607	If a Consolidated Account Owner EntityType is 'LE' and if Optional Fields or Supplemental Fields Reported to LEI Provider is set to 'N' then the following fields must be provided: LegalEntityName street state City Country PostalCode Telephone ContactLastName ContactFirstName ContactTitle ContactRelationship ContactTelephone ContactEmail		If a Consolidated Account Owner is a legal entity and if optional/supplemental fields have not been marked as separately provided to an LEI provider, then the required fields must be provided.	cftcBatch/cftcForm102/relatedEntity/legalEntityName cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@lastName cftcBatch/cftcForm102/relatedEntity/contact/@firstName cftcBatch/cftcForm102/relatedEntity/contact/@titleOrPosition cftcBatch/cftcForm102/relatedEntity/contact/@relationship cftcBatch/cftcForm102/relatedEntity/contact/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@email	cftcBatch/cftcForm102/@accountCategory='CA' cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/relatedEntity/@isOwner='Y' cftcBatch/cftcForm102/relatedEntity/@entityType='LE' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/relatedEntity/@isCounterparty='N'
3(iii)	608	If a Consolidated Account Owner EntityType is 'NP' and if Optional Fields or Supplemental Fields Reported to LEI Provider is set to 'N' then the following fields must be provided: FirstName LastName street City state Country PostalCode Telephone Email		If a Consolidated Account Owner EntityType is a natural person and if optional/supplemental fields have not been separately provided to an LEI provider, then the required fields must be provided.	cftcBatch/cftcForm102/relatedEntity/@firstName cftcBatch/cftcForm102/relatedEntity/@lastName cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/@email	cftcBatch/cftcForm102/@accountCategory='CA' cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/relatedEntity/@isOwner='Y' cftcBatch/cftcForm102/relatedEntity/@entityType='NP' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/relatedEntity/@isCounterparty='N'
3(iv)	609	If the reported Consolidated Account is being reported as Non-Omnibus Account, there must be at least one controller		A Non-Omnibus Consolidated Account must have at least one controller.	cftcBatch/cftcForm102/relatedEntity	cftcBatch/cftcForm102/@accountCategory='CA' cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/relatedEntity/@isController='Y' cftcBatch/cftcForm102/relatedEntity/@isCounterparty='N'
3(iv)	610	If a Consolidated Account Controller EntityType is 'LE' and if Optional Fields or Supplemental Fields Reported to LEI Provider is set to 'N' then the following fields must be provided: LegalEntityName street state City Country PostalCode Telephone Email ContactLastName ContactFirstName ContactTitle ContactRelationship ContactTelephone ContactEmail		If a Consolidated Account controller is a legal entity and if optional/supplemental fields have not been marked as separately provided to an LEI provider, then the required fields must be provided.	cftcBatch/cftcForm102/relatedEntity/legalEntityName cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/@email cftcBatch/cftcForm102/relatedEntity/contact/@lastName cftcBatch/cftcForm102/relatedEntity/contact/@firstName cftcBatch/cftcForm102/relatedEntity/contact/@titleOrPosition cftcBatch/cftcForm102/relatedEntity/contact/@relationship cftcBatch/cftcForm102/relatedEntity/contact/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@email	cftcBatch/cftcForm102/@accountCategory='CA' cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/relatedEntity/@isController='Y' cftcBatch/cftcForm102/relatedEntity/@entityType='LE' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/relatedEntity/@isCounterparty='N'

3(iv)	611	If a Consolidated Account Controller EntityType is 'NP' and if Optional Fields or Supplemental Fields Reported to LEI Provider is set to 'N' then the following fields must be provided: FirstName LastName street City state Country PostalCode Telephone Email		If a Consolidated Account Controller is a natural person and if optional/supplemental fields have not been separately provided to an LEI provider, then the required fields must be provided.	cftcBatch/cftcForm102/relatedEntity/@firstName cftcBatch/cftcForm102/relatedEntity/@lastName cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/@email	cftcBatch/cftcForm102/@accountCategory='CA' cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/relatedEntity/@isController='Y' cftcBatch/cftcForm102/relatedEntity/@entityType='NP' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/relatedEntity/@isCounterparty='N'
4	612	If accountCategory is 'CA' then at least one of the following must be set to 'Y': isSwap or isSwaption		If accountCategory is 'CA' then at least one of the following must be set to 'Y': isSwap or isSwaption	cftcBatch/cftcForm102/pairedSwapOrSwaptionActivity/@isSwap cftcBatch/cftcForm102/pairedSwapOrSwaptionActivity/@isSwaption	cftcBatch/cftcForm102/@accountCategory='CA'
4	613	If accountCategory is 'CA' then at least one description of paired swap or swaption market activity must be provided.		If accountCategory is 'CA' then at least one description of paired swap or swaption market activity must be provided.	cftcBatch/cftcForm102/pairedSwapOrSwaptionActivity/@description	cftcBatch/cftcForm102/@accountCategory='CA'
3	614	For a non-omnibus Consolidated Account, there must be one and only one counterparty.		A non-omnibus Consolidated Account must have one and only one counterparty.	cftcBatch/cftcForm102/relatedEntity	cftcBatch/cftcForm102/@accountCategory='CA' cftcBatch/cftcForm102/relatedEntity/@isCounterparty='Y' cftcBatch/cftcForm102/relatedEntity/@isOmnibus='N'
3	615	For a non-omnibus Consolidated Account, the counterparty must be an owner or a controller.		For a non-omnibus Consolidated Account, the counterparty must be an owner or a controller.	cftcBatch/cftcForm102/relatedEntity	cftcBatch/cftcForm102/@accountCategory='CA' cftcBatch/cftcForm102/relatedEntity/@isCounterparty='Y' cftcBatch/cftcForm102/relatedEntity/@isOwner='N' cftcBatch/cftcForm102/relatedEntity/@isController='N'
3	616	For a non-omnibus Consolidated Account, an originator cannot be the counterparty.		For a non-omnibus Consolidated Account, an originator cannot be the counterparty.	cftcBatch/cftcForm102/relatedEntity	cftcBatch/cftcForm102/@accountCategory='CA' cftcBatch/cftcForm102/relatedEntity/@isCounterparty='Y' cftcBatch/cftcForm102/relatedEntity/@isOriginator='Y'
NAL	617	If a Consolidated Account Counterparty EntityType is 'LE' and if Optional Fields or Supplemental Fields Reported to LEI Provider is set to 'N' then the following fields must be provided: LegalEntityName street state City Country PostalCode Telephone ContactLastName ContactFirstName ContactTitle ContactRelationship ContactTelephone ContactEmail		If a Consolidated Account Counterparty is a legal entity and if optional/supplemental fields have not been marked as separately provided to an LEI provider, then the required fields must be provided.	cftcBatch/cftcForm102/relatedEntity@legalEntityName cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@lastName cftcBatch/cftcForm102/relatedEntity/contact/@firstName cftcBatch/cftcForm102/relatedEntity/contact/@titleOrPosition cftcBatch/cftcForm102/relatedEntity/contact/@relationship cftcBatch/cftcForm102/relatedEntity/contact/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@email	cftcBatch/cftcForm102/@accountCategory='CA' cftcBatch/cftcForm102/relatedEntity/@entityType='LE' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/relatedEntity@foreignPrivacyException='N' cftcBatch/cftcForm102/relatedEntity/@isCounterparty='Y'

NAL	618	If a Consolidated Account Counterparty EntityType is 'NP' and if Optional Fields or Supplemental Fields Reported to LEI Provider is set to 'N' then the following fields must be provided: FirstName LastName street City state Country PostalCode Telephone Email		If a Consolidated Account Counterparty EntityType is a natural person and if optional/supplemental fields have not been separately provided to an LEI provider, then the required fields must be provided.	cftcBatch/cftcForm102/relatedEntity/@firstName cftcBatch/cftcForm102/relatedEntity/@lastName cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/@email	cftcBatch/cftcForm102/@accountCategory='CA' cftcBatch/cftcForm102/relatedEntity/@entityType='NP' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/relatedEntity@foreignPrivacyException='N' cftcBatch/cftcForm102/relatedEntity/@isCounterparty='Y'
NAL	622	For a consolidated account that is a counterparty, the Foreign Privacy Law Exception Indicator is required.		For a consolidated account that is a counterparty, the Foreign Privacy Law Exception Indicator must be provided.	cftcBatch/cftcForm102/relatedEntity@foreignPrivacyException	cftcBatch/cftcForm102/@accountCategory='CA' cftcBatch/cftcForm102/relatedEntity/@IsCounterparty='Y'

Qsn # in Final Rule	Rule Number	Extended Rule Number	Rule Description	Valid Values	Error Message	XML Path	XML Condition
102A/102B/102S	701	4701	The legal entity identifier (LEI) should not be null when optionalOrSuppFieldsSeparatelyReported indicator is set to 'Y'		Legal Entity Identifier must be provided when optionalOrSuppFieldsSeparatelyReported is 'Y'.	cftcBatch/cftcForm102/@legalEntityIdentifier	cftcBatch/cftcForm102/@optionalOrSuppFieldsSeparatelyReported='Y'
		5701	The legal entity identifier (LEI) should not be null when optionalOrSuppFieldsSeparatelyReported indicator is set to 'Y'		Legal Entity Identifier must be provided when optionalOrSuppFieldsSeparatelyReported is 'Y'.	cftcBatch/cftcForm102/@legalEntityIdentifier	cftcBatch/cftcForm102/@optionalOrSuppFieldsSeparatelyReported='Y'
		6701	The legal entity identifier (LEI) should not be null when optionalOrSuppFieldsSeparatelyReported indicator is set to 'Y'		Legal Entity Identifier must be provided when optionalOrSuppFieldsSeparatelyReported is 'Y'.	cftcBatch/cftcForm102/@legalEntityIdentifier	cftcBatch/cftcForm102/@optionalOrSuppFieldsSeparatelyReported='Y'
102A/102B/102S	702	4702	The legal entity identifier (LEI) should not be null when optionalOrSuppFieldsSeparatelyReported indicator is set to 'Y'		Legal Entity Identifier must be provided when optionalOrSuppFieldsSeparatelyReported is 'Y'.	cftcBatch/cftcForm102/relatedEntity/@legalEntityIdentifier	cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y'
		5702	The legal entity identifier (LEI) should not be null when optionalOrSuppFieldsSeparatelyReported indicator is set to 'Y'		Legal Entity Identifier must be provided when optionalOrSuppFieldsSeparatelyReported is 'Y'.	cftcBatch/cftcForm102/relatedEntity/@legalEntityIdentifier	cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y'
		6702	The legal entity identifier (LEI) should not be null when optionalOrSuppFieldsSeparatelyReported indicator is set to 'Y'		Legal Entity Identifier must be provided when optionalOrSuppFieldsSeparatelyReported is 'Y'.	cftcBatch/cftcForm102/relatedEntity/@legalEntityIdentifier	cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y'
102A/102B/102S	703	4703	The legal entity identifier (LEI) should not be null when optionalOrSuppFieldsSeparatelyReported indicator is set to 'Y'		Legal Entity Identifier must be provided when optionalOrSuppFieldsSeparatelyReported is 'Y'.	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@legalEntityIdentifier	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y'
		5703	The legal entity identifier (LEI) should not be null when optionalOrSuppFieldsSeparatelyReported indicator is set to 'Y'		Legal Entity Identifier must be provided when optionalOrSuppFieldsSeparatelyReported is 'Y'.	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@legalEntityIdentifier	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y'
		6703	The legal entity identifier (LEI) should not be null when optionalOrSuppFieldsSeparatelyReported indicator is set to 'Y'		Legal Entity Identifier must be provided when optionalOrSuppFieldsSeparatelyReported is 'Y'.	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@legalEntityIdentifier	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y'
102 coversheet	704	4704	If Optional Fields or Supplemental Fields Reported to LEI Provider is 'Y' then the following fields are not required if these fields exist in the LEI database. LegalEntityName Street City State Country PostalCode ContactLastName ContactFirstName ContactTitle ContactRelationship ContactTelephone ContactEmail		For the cover sheet, the Optional/Supplemental fields which were marked as separately reported to an LEI provider could not be matched against LEI provider data.	cftcBatch/cftcForm102/@legalEntityName cftcBatch/cftcForm102/@street cftcBatch/cftcForm102/@city cftcBatch/cftcForm102/@state cftcBatch/cftcForm102/@country cftcBatch/cftcForm102/@postalCode cftcBatch/cftcForm102/contact/@lastName cftcBatch/cftcForm102/contact/@firstName cftcBatch/cftcForm102/contact/@titleOrPosition cftcBatch/cftcForm102/contact/@telephone cftcBatch/cftcForm102/contact/@email	cftcBatch/cftcForm102/@optionalOrSuppFieldsSeparatelyReported='Y'

		5704	<p>If Optional Fields or Supplemental Fields Reported to LEI Provider is 'Y' then the following fields are not required if these fields exist in the LEI database.</p> <p>LegalEntityName Street City State Country PostalCode ContactLastName ContactFirstName ContactTitle ContactRelationship ContactTelephone ContactEmail</p>	<p>For the cover sheet, the Optional/Supplemental fields which were marked as separately reported to an LEI provider could not be matched against LEI provider data.</p>	<p>cftcBatch/cftcForm102/@legalEntityName cftcBatch/cftcForm102/@street cftcBatch/cftcForm102/@city cftcBatch/cftcForm102/@state cftcBatch/cftcForm102/@country cftcBatch/cftcForm102/@postalCode cftcBatch/cftcForm102/contact/@lastName cftcBatch/cftcForm102/contact/@firstName cftcBatch/cftcForm102/contact/@titleOrPosition cftcBatch/cftcForm102/contact/@telephone cftcBatch/cftcForm102/contact/@email</p>	<p>cftcBatch/cftcForm102/@optionalOrSuppFieldsSeparatelyReported='Y'</p>
		6704	<p>If Optional Fields or Supplemental Fields Reported to LEI Provider is 'Y' then the following fields are not required if these fields exist in the LEI database.</p> <p>LegalEntityName Street City State Country PostalCode ContactLastName ContactFirstName ContactTitle ContactRelationship ContactTelephone ContactEmail</p>	<p>For the cover sheet, the Optional/Supplemental fields which were marked as separately reported to an LEI provider could not be matched against LEI provider data.</p>	<p>cftcBatch/cftcForm102/@legalEntityName cftcBatch/cftcForm102/@street cftcBatch/cftcForm102/@city cftcBatch/cftcForm102/@state cftcBatch/cftcForm102/@country cftcBatch/cftcForm102/@postalCode cftcBatch/cftcForm102/contact/@lastName cftcBatch/cftcForm102/contact/@firstName cftcBatch/cftcForm102/contact/@titleOrPosition cftcBatch/cftcForm102/contact/@telephone cftcBatch/cftcForm102/contact/@email</p>	<p>cftcBatch/cftcForm102/@optionalOrSuppFieldsSeparatelyReported='Y'</p>
2,6(102A) 2,7(102A)	707	<p>If a Special Account Controller EntityType is 'LE' or a Special Account Owner EntityType is 'LE' and if Optional Fields or Supplemental Fields Reported to LEI Provider is 'Y' then the following fields are not required if these fields exist in the LEI database.</p> <p>LegalEntityName street City state Country PostalCode Telephone Email ContactLastName ContactFirstName ContactTitle ContactRelationship ContactTelephone ContactEmail</p>	<p>For a Special Account Controller identified as a legal entity or a Special Account Owner identified as a legal entity, specific information fields are required. The Optional/Supplemental fields which were marked as separately reported to an LEI provider could not be matched against LEI provider data.</p>	<p>cftcBatch/cftcForm102/relatedEntity@legalEntityName cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/@email cftcBatch/cftcForm102/relatedEntity/contact/@lastName cftcBatch/cftcForm102/relatedEntity/contact/@firstName cftcBatch/cftcForm102/relatedEntity/contact/@titleOrPosition cftcBatch/cftcForm102/relatedEntity/contact/@relationship cftcBatch/cftcForm102/relatedEntity/contact/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@email</p>	<p>cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@originReason in ('CC','OC') cftcBatch/cftcForm102/relatedEntity/@entityType='LE' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y' cftcBatch/cftcForm102/relatedEntity/@isController='Y' cftcBatch/cftcForm102/relatedEntity/@isOwner='Y'</p>	

2,6(102A) 2,7(102A)	708		If a Special Account Controller EntityType is 'NP' or a Special Account Owner is 'NP' and if Optional Fields or Supplemental Fields Reported to LEI Provider is 'Y' then the following fields are not required if these fields exist in the LEI database. FirstName LastName street City state Country PostalCode Telephone Email		For a Special Account Controller identified as a natural person or a Special Account Owner identified as a natural person, specific information fields are required. The Optional/Supplemental fields which were marked as separately reported to an LEI provider could not be matched against LEI provider data.	cftcBatch/cftcForm102/relatedEntity/@firstName cftcBatch/cftcForm102/relatedEntity/@lastName cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/@email	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@originReason in ('CC','OC') cftcBatch/cftcForm102/relatedEntity/@entityType='NP' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y' cftcBatch/cftcForm102/relatedEntity/@isController='Y' cftcBatch/cftcForm102/relatedEntity/@isOwner='Y'
2,8(102A)	709		For an Omnibus Account Originator Entity (which can only be 'LE'), if Optional Fields or Supplemental Fields Reported to LEI Provider is 'Y' then the following fields are not required if these fields exist in the LEI database. LegalEntityName street City state Country PostalCode Telephone ContactLastName ContactFirstName ContactTitle ContactRelationship ContactTelephone ContactEmail		For an Omnibus Account Originator, specific information fields are required. The Optional/Supplemental fields which were marked as separately reported to an LEI provider could not be matched against LEI provider data.	cftcBatch/cftcForm102/relatedEntity@legalEntityName cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@lastName cftcBatch/cftcForm102/relatedEntity/contact/@firstName cftcBatch/cftcForm102/relatedEntity/contact/@titleOrPosition cftcBatch/cftcForm102/relatedEntity/contact/@relationship cftcBatch/cftcForm102/relatedEntity/contact/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@email	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@originReason='OM' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y' cftcBatch/cftcForm102/@isOmnibus='Y' cftcBatch/cftcForm102/relatedEntity/@isOriginator='Y'
2,10(i)(102A)	710		For a Trading Account Omnibus Account Entity (which can only be 'LE'), if Optional Fields or Supplemental Fields Reported to LEI Provider is 'Y' then the following fields are not required if these fields exist in the LEI database. LegalEntityName street City state Country PostalCode Telephone ContactLastName ContactFirstName ContactTitle ContactRelationship ContactTelephone ContactEmail		For each identified Trading Account that is an Omnibus Account, specific information fields are required. The Optional/Supplemental fields which were marked as separately reported to an LEI provider could not be matched against LEI provider data.	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@legalEntityName cftcBatch/cftcForm102/relatedAccount/relatedEntity/@street cftcBatch/cftcForm102/relatedAccount/relatedEntity/@city cftcBatch/cftcForm102/relatedAccount/relatedEntity/@state cftcBatch/cftcForm102/relatedAccount/relatedEntity/@country cftcBatch/cftcForm102/relatedAccount/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedAccount/relatedEntity/@telephone cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@lastName cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@firstName cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@titleOrPosition cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@relationship cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@telephone cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@email	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isCM='Y' cftcBatch/cftcForm102/relatedAccount/@isOmnibus='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOriginator='Y' cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@entityType='LE'
2,10(ii)(102A)	711		If a Trading Account Owner EntityType is 'LE' and if Optional Fields or Supplemental Fields Reported to LEI Provider is 'Y', then the Legal or registered name of the trading account owner is not required to be provided if this field exists in the LEI database.		The Trading Account Owner was identified as a legal entity whose name was marked as separately reported to an LEI provider. Using the provided LEI, the name could not be matched against LEI provider data.	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@legalEntityName	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isCM='Y' cftcBatch/cftcForm102/relatedAccount/@isOmnibus='N' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@entityType='LE' cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='Y'

2,10(ii)(102 A)	712		If a Trading Account Owner EntityType is 'LE' and followOnInformationToCome is 'N', if Optional Fields or Supplemental Fields Reported to LEI Provider is 'Y' then the following fields are not required if these fields exist in the LEI database. Street City State Country PostalCode Telephone ContactLastName ContactFirstName ContactTitle ContactRelationship ContactTelephone ContactEmail		For a Trading Account Owner identified as a legal entity, specific information fields are required. The Optional/Supplemental fields which were marked as separately reported to an LEI provider could not be matched against LEI provider data.	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@street cftcBatch/cftcForm102/relatedAccount/relatedEntity/@city cftcBatch/cftcForm102/relatedAccount/relatedEntity/@state cftcBatch/cftcForm102/relatedAccount/relatedEntity/@country cftcBatch/cftcForm102/relatedAccount/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedAccount/relatedEntity/@telephone cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@lastName cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@firstName cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@titleOrPosition cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@telephone cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@email cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@relationship	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isCM='Y' cftcBatch/cftcForm102/relatedAccount/@isOmnibus='N' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y' cftcBatch/cftcForm102/@followOnInformationToCome='N' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@entityType='LE'
2,10(ii)(102 A)	713		If a Trading Account Owner EntityType is 'NP' and if Optional Fields or Supplemental Fields Reported to LEI Provider is 'Y' then Trading account owner natural person first name and last name are not required to be provided if these fields exist in the LEI database.		The Trading Account Owner was identified as a natural person whose name was marked as separately reported to an LEI provider. Using the provided LEI, the name could not be matched against LEI provider data.	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@lastName cftcBatch/cftcForm102/relatedAccount/relatedEntity/@firstName	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isCM='Y' cftcBatch/cftcForm102/relatedAccount/@isOmnibus='N' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@entityType='NP' cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='Y'
2,10(ii)(102 A)	714		If a Trading Account Owner EntityType is 'NP' and followOnInformationToCome is 'N', if Optional Fields or Supplemental Fields Reported to LEI Provider is 'Y' then the following fields are not required if these fields exist in the LEI database. street City State Country PostalCode Telephone Email		For a Trading Account Owner identified as a natural person, specific information fields are required. The Optional/Supplemental fields which were marked as separately reported to an LEI provider could not be matched against LEI provider data.	cftcBatch/cftcForm102/relatedAccount/relatedEntity/@street cftcBatch/cftcForm102/relatedAccount/relatedEntity/@city cftcBatch/cftcForm102/relatedAccount/relatedEntity/@state cftcBatch/cftcForm102/relatedAccount/relatedEntity/@country cftcBatch/cftcForm102/relatedAccount/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedAccount/relatedEntity/@telephone cftcBatch/cftcForm102/relatedAccount/relatedEntity/@email	cftcBatch/cftcForm102/@accountCategory='SA' cftcBatch/cftcForm102/@isCM='Y' cftcBatch/cftcForm102/relatedAccount/@isOmnibus='N' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner='Y' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y' cftcBatch/cftcForm102/@followOnInformationToCome='N' cftcBatch/cftcForm102/relatedAccount/relatedEntity/@entityType='NP' cftcBatch/cftcForm102/relatedAccount/@isTradingAccount='Y'
4(102B)	715		For a Volume Threshold Account Omnibus Account Originator Entity (which can only be 'LE'), if Optional Fields or Supplemental Fields Reported to LEI Provider is 'Y' then the following fields are not required if these fields exist in the LEI database. LegalEntityName Street City State Country PostalCode Telephone ContactLastName ContactFirstName ContactTitle ContactRelationship ContactTelephone ContactEmail		For a Volume Threshold Account Omnibus Account Originator, specific information fields are required. The Optional/Supplemental fields which were marked as separately reported to an LEI provider could not be matched against LEI provider data.	cftcBatch/cftcForm102/relatedEntity/@entityType='LE' cftcBatch/cftcForm102/relatedEntity@legalEntityName cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@lastName cftcBatch/cftcForm102/relatedEntity/contact/@firstName cftcBatch/cftcForm102/relatedEntity/contact/@titleOrPosition cftcBatch/cftcForm102/relatedEntity/contact/@relationship cftcBatch/cftcForm102/relatedEntity/contact/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@email	cftcBatch/cftcForm102/@accountCategory='VT' cftcBatch/cftcForm102/@isOmnibus='Y' cftcBatch/cftcForm102/relatedEntity/@isOriginator='Y' cftcBatch/cftcForm102/relatedEntity/@entityType='LE' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y'
5(102B)	716		If a Volume Threshold Account Owner EntityType is 'LE', if Optional Fields or Supplemental Fields Reported to LEI Provider is 'Y' then LegalEntityName is not required to be provided if this field exists in the LEI database.		The Volume Threshold Account Owner was identified as a legal entity whose name was marked as separately reported to an LEI provider. Using the provided LEI, the name could not be matched against LEI provider data.	cftcBatch/cftcForm102/relatedEntity@legalEntityName	cftcBatch/cftcForm102/@accountCategory='VT' cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/relatedEntity/@isOwner='Y' cftcBatch/cftcForm102/relatedEntity/@entityType='LE' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y'

5(102B)	717		If a Volume Threshold Account Owner EntityType is 'LE' and followOnInformationToCome is 'N', if Optional Fields or Supplemental Fields Reported to LEI Provider is 'Y' then the following fields are not required if these fields exist in the LEI database. Street City State Country PostalCode Telephone ContactLastName ContactFirstName ContactTitle ContactRelationship ContactTelephone ContactEmail		For a Volume Threshold Account Owner identified as a legal entity, specific information fields are required. The Optional/Supplemental fields which were marked as separately reported to an LEI provider could not be matched against LEI provider data.	cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@lastName cftcBatch/cftcForm102/relatedEntity/contact/@firstName cftcBatch/cftcForm102/relatedEntity/contact/@titleOrPosition cftcBatch/cftcForm102/relatedEntity/contact/@relationship cftcBatch/cftcForm102/relatedEntity/contact/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@email	cftcBatch/cftcForm102/@accountCategory='VT' cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/relatedEntity/@isOwner='Y' cftcBatch/cftcForm102/relatedEntity/@entityType='LE' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y' cftcBatch/cftcForm102/@followOnInformationToCome='N'
5(102B)	718		If a Volume Threshold Account Owner EntityType is 'NP', if Optional Fields or Supplemental Fields Reported to LEI Provider is 'Y' then the Owner first name and last name are not required to be provided if these fields exist in the LEI database.		The Volume Threshold Account Owner was identified as a natural person whose name was marked as separately reported to an LEI provider. Using the provided LEI, the name could not be matched against LEI provider data.	cftcBatch/cftcForm102/relatedEntity/@lastName cftcBatch/cftcForm102/relatedEntity/@firstName	cftcBatch/cftcForm102/@accountCategory='VT' cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/relatedEntity/@isOwner='Y' cftcBatch/cftcForm102/relatedEntity/@entityType='NP' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y'
5(102B)	719		If a Volume Threshold Account Owner EntityType is 'NP' and followOnInformationToCome is 'N', if Optional Fields or Supplemental Fields Reported to LEI Provider is 'Y' then the following fields are not required if these fields exist in the LEI database. Street City State Country PostalCode Telephone Email		For a Volume Threshold Account Owner identified as a natural person, specific information fields are required. The Optional/Supplemental fields which were marked as separately reported to an LEI provider could not be matched against LEI provider data.	cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/@email	cftcBatch/cftcForm102/@accountCategory='VT' cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/relatedEntity/@isOwner='Y' cftcBatch/cftcForm102/relatedEntity/@entityType='NP' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y' cftcBatch/cftcForm102/@followOnInformationToCome='N'
3(ii)(102S)	720		For an Omnibus Account Originator Entity (which can only be 'LE'), if Optional Fields or Supplemental Fields Reported to LEI Provider is 'Y' then the following fields are not required if these fields exist in the LEI database. LegalEntityName street City state Country PostalCode Telephone ContactLastName ContactFirstName ContactTitle ContactRelationship ContactTelephone ContactEmail		For an Omnibus Account Originator, specific information fields are required. The Optional/Supplemental fields which were marked as separately reported to an LEI provider could not be matched against LEI provider data.	cftcBatch/cftcForm102/relatedEntity@legalEntityName cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@lastName cftcBatch/cftcForm102/relatedEntity/contact/@firstName cftcBatch/cftcForm102/relatedEntity/contact/@titleOrPosition cftcBatch/cftcForm102/relatedEntity/contact/@relationship cftcBatch/cftcForm102/relatedEntity/contact/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@email	cftcBatch/cftcForm102/@accountCategory='CA' cftcBatch/cftcForm102/@isOmnibus='Y' cftcBatch/cftcForm102/relatedEntity/@isOriginator='Y' cftcBatch/cftcForm102/relatedEntity/@entityType='LE' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y'

3(iii)(102S)	721	<p>If a Consolidated Account Owner EntityType is 'LE', if Optional Fields or Supplemental Fields Reported to LEI Provider is 'Y' then the following fields are not required if these fields exist in the LEI database.</p> <p>LegalEntityName street state City Country PostalCode Telephone ContactLastName ContactFirstName ContactTitle ContactRelationship ContactTelephone ContactEmail</p>		<p>For a Consolidated Account Owner identified as a legal entity, specific information fields are required. The Optional/Supplemental fields which were marked as separately reported to an LEI provider could not be matched against LEI provider data.</p>	<p>cftcBatch/cftcForm102/relatedEntity@legalEntityName cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@lastName cftcBatch/cftcForm102/relatedEntity/contact/@firstName cftcBatch/cftcForm102/relatedEntity/contact/@titleOrPosition cftcBatch/cftcForm102/relatedEntity/contact/@relationship cftcBatch/cftcForm102/relatedEntity/contact/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@email</p>	<p>cftcBatch/cftcForm102/@accountCategory='CA' cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/relatedEntity/@isOwner='Y' cftcBatch/cftcForm102/relatedEntity/@entityType='LE' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y'</p>
3(iii)(102S)	722	<p>If a Consolidated Account Owner EntityType is 'NP', if Optional Fields or Supplemental Fields Reported to LEI Provider is 'Y' then the following fields are not required if these fields exist in the LEI database.</p> <p>FirstName LastName street City state Country PostalCode Telephone Email</p>		<p>For a Consolidated Account Owner identified as a natural person, specific information fields are required. The Optional/Supplemental fields which were marked as separately reported to an LEI provider could not be matched against LEI provider data.</p>	<p>cftcBatch/cftcForm102/relatedEntity/@firstName cftcBatch/cftcForm102/relatedEntity/@lastName cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/@email</p>	<p>cftcBatch/cftcForm102/@accountCategory='CA' cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/relatedEntity/@isOwner='Y' cftcBatch/cftcForm102/relatedEntity/@entityType='NP' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y'</p>
3(iii)(102S)	723	<p>If a Consolidated Account Controller EntityType is 'LE', if Optional Fields or Supplemental Fields Reported to LEI Provider is 'Y' then the following fields are not required if these fields exist in the LEI database.</p> <p>LegalEntityName street state City Country PostalCode Telephone Email ContactLastName ContactFirstName ContactTitle ContactRelationship ContactTelephone ContactEmail</p>		<p>For a Consolidated Account Controller identified as a legal entity, specific information fields are required. The Optional/Supplemental fields which were marked as separately reported to an LEI provider could not be matched against LEI provider data.</p>	<p>cftcBatch/cftcForm102/relatedEntity@legalEntityName cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/@email cftcBatch/cftcForm102/relatedEntity/contact/@lastName cftcBatch/cftcForm102/relatedEntity/contact/@firstName cftcBatch/cftcForm102/relatedEntity/contact/@titleOrPosition cftcBatch/cftcForm102/relatedEntity/contact/@relationship cftcBatch/cftcForm102/relatedEntity/contact/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@email</p>	<p>cftcBatch/cftcForm102/@accountCategory='CA' cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/relatedEntity/@isController='Y' cftcBatch/cftcForm102/relatedEntity/@entityType='LE' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y'</p>

3(iii)(102S)	724		<p>If a Consolidated Account Controller EntityType is 'NP', if Optional Fields or Supplemental Fields Reported to LEI Provider is 'Y' then the following fields are not required if these fields exist in the LEI database. FirstName LastName street City state Country PostalCode Telephone Email</p>		<p>For a Consolidated Account Controller identified as a natural person, specific information fields are required. The Optional/Supplemental fields which were marked as separately reported to an LEI provider could not be matched against LEI provider data.</p>	<p>cftcBatch/cftcForm102/relatedEntity/@firstName cftcBatch/cftcForm102/relatedEntity/@lastName cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/@email</p>	<p>cftcBatch/cftcForm102/@accountCategory='CA' cftcBatch/cftcForm102/@isOmnibus='N' cftcBatch/cftcForm102/relatedEntity/@isController='Y' cftcBatch/cftcForm102/relatedEntity/@entityType='NP' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y'</p>
June 2016 NAL	727		<p>For an Omnibus Consolidated Account Originator Entity (which can only be 'LE'), if Optional Fields or Supplemental Fields Reported to LEI Provider is 'Y' then the following fields are not required if these fields exist in the LEI database: LegalEntityName Street City State Country PostalCode Telephone ContactLastName ContactFirstName ContactTitle ContactRelationship ContactTelephone ContactEmail</p>		<p>For an Omnibus Account Originator, specific information fields are required. The Optional/Supplemental fields which were marked as separately reported to an LEI provider could not be matched against LEI provider data.</p>	<p>cftcBatch/cftcForm102/relatedEntity@legalEntityName cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@lastName cftcBatch/cftcForm102/relatedEntity/contact/@firstName cftcBatch/cftcForm102/relatedEntity/contact/@titleOrPosition cftcBatch/cftcForm102/relatedEntity/contact/@relationship cftcBatch/cftcForm102/relatedEntity/contact/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@email</p>	<p>cftcBatch/cftcForm102/@accountCategory='CA' cftcBatch/cftcForm102/@isOmnibus='Y' cftcBatch/cftcForm102/relatedEntity/@isOriginator='Y' cftcBatch/cftcForm102/relatedEntity/@entityType='LE' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y' cftcBatch/cftcForm102/relatedEntity/@isCounterparty='Y'</p>
NAL	728		<p>If a Consolidated Account Counterparty EntityType is 'LE', if Optional Fields or Supplemental Fields Reported to LEI Provider is 'Y' then the following fields are not required if these fields exist in the LEI database. LegalEntityName street state City Country PostalCode Telephone ContactLastName ContactFirstName ContactTitle ContactRelationship ContactTelephone ContactEmail</p>		<p>For a Consolidated Account Counterparty identified as a legal entity, specific information fields are required. The Optional/Supplemental fields which were marked as separately reported to an LEI provider could not be matched against LEI provider data.</p>	<p>cftcBatch/cftcForm102/relatedEntity@legalEntityName cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@lastName cftcBatch/cftcForm102/relatedEntity/contact/@firstName cftcBatch/cftcForm102/relatedEntity/contact/@titleOrPosition cftcBatch/cftcForm102/relatedEntity/contact/@relationship cftcBatch/cftcForm102/relatedEntity/contact/@telephone cftcBatch/cftcForm102/relatedEntity/contact/@email</p>	<p>cftcBatch/cftcForm102/@accountCategory='CA' cftcBatch/cftcForm102/relatedEntity/@entityType='LE' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y' cftcBatch/cftcForm102/relatedEntity/@isCounterparty='Y'</p>

NAL	729	<p>If a Consolidated Account Counterparty EntityType is 'NP' and if Optional Fields or Supplemental Fields Reported to LEI Provider is 'Y' then the following fields are not required if these fields exist in the LEI database.</p> <p>FirstName LastName Street City State Country PostalCode Telephone Email</p>	<p>For a Consolidated Account Counterparty identified as a natural person, specific information fields are required. The Optional/Supplemental fields which were marked as separately reported to an LEI provider could not be matched against LEI provider data.</p>	<p>cftcBatch/cftcForm102/relatedEntity/@firstName cftcBatch/cftcForm102/relatedEntity/@lastName cftcBatch/cftcForm102/relatedEntity/@street cftcBatch/cftcForm102/relatedEntity/@city cftcBatch/cftcForm102/relatedEntity/@state cftcBatch/cftcForm102/relatedEntity/@country cftcBatch/cftcForm102/relatedEntity/@postalCode cftcBatch/cftcForm102/relatedEntity/@telephone cftcBatch/cftcForm102/relatedEntity/@email</p>	<p>cftcBatch/cftcForm102/@accountCategory='CA' cftcBatch/cftcForm102/relatedEntity/@entityType='NP' cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/relatedEntity/@isCounterparty='Y'</p>
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