



U.S. COMMODITY FUTURES TRADING COMMISSION

Three Lafayette Centre
1155 21st Street, NW, Washington, DC 20581
Telephone: (202) 418-5000

Division of Market Oversight

Vincent McGonagle
Director

Advisory on Transition to Portal Filings for Registered Foreign Boards of Trade For Filings Submitted On or After April 1, 2024

Staff of the Division of Market Oversight (“DMO”) of the Commodity Futures Trading Commission (“Commission”) notifies all entities registered as foreign boards of trade under part 48 of the Commission’s regulations (“FBOTs”) that, beginning April 1, 2024, the regulatory filings identified as “Covered Filings” in this Advisory should be submitted through the Commission’s web-based platform at <https://portal.cftc.gov/>, known as the “Portal.”

Currently, FBOTs submit filings under parts 30 and 48 of the Commission’s regulations¹ via email. The use of the Portal for the Covered Filings will increase efficiency and improve Commission information management and information security. The Portal provides additional security through two-factor authentication, which requires a user name and password as well as a working telephone number for validation of identity.

The Portal has offered increased functionality in incremental phases to support electronic submissions to the Commission. The Commission continues to improve and expand the Portal to better support industry participants and the mission of the Commission.

Transition Timeline

The Portal will be available to registered FBOTs immediately and FBOTs may begin using the Portal to submit the Covered Filings right away. However, Covered Filings will still be accepted via email through March 31, 2024. Beginning April 1, 2024, FBOTs should submit all Covered Filings exclusively through the Portal.

¹ 17 CFR Part 30; 17 CFR Part 48.

DMO staff strongly encourages FBOTs to use the transition period between the date of this Advisory and March 31, 2024 to test Portal filing.

Covered Filings

The following filings under parts 30 and 48 of the Commission's regulations are Covered Filings:

- §§ 30.13(a), (e), and (m) (Request for Certification of Foreign Non-Narrow-Based Security Index Contract);²
- § 30.13(l) (Change to Previously Certified Foreign Security Index Contract);
- §§ 48.10 (a) and (b) (Additional Foreign Contract to be Offered to US Direct Access Participants);
- § 48.8(b)(1)(i) (Quarterly Report on Trade Volume and Direct Access Participants);
- § 48.8(b)(1)(ii) (Event-Based Report);
- § 48.8(b)(1)(iii) (Annual Report);
- §§ 48.8(c)(1)(ii)(C) and 48.8(c)(2)(iii)-(iv) (Linked Contracts Changes or Events); and
- § 48.8(c)(2)(i) (Linked Contracts Quarterly Report).

Non-Covered Filings

Use of the Portal does not apply to the information that must be submitted to initially register as an FBOT (Form FBOT and/or Supplement S-1), or subsequent amendments to Form FBOT and/or Supplement S-1. These forms and related exhibits, and any amendments thereto, should continue to be submitted via email to DMO staff at FBOTapplications@cftc.gov.

Information filed in compliance with §§ 48.8(c)(1)(ii)(D), 48.8(c)(1)(ii)(E) and 48.8(c)(2)(ii) is not covered by this Staff Advisory and should continue to be filed according to existing Commission instructions.

This Staff Advisory does not apply to foreign boards of trade that are not registered with the Commission under part 48 but make submissions under § 30.13. Such filings by non-registered foreign boards of trade should continue to be submitted via email to Secretary@cftc.gov.

Portal Registration and Technical Assistance

In order to use the Portal, an FBOT will need to register for a Portal account at <https://portal.cftc.gov/> and agree to the Terms and Conditions for use of the Portal. Each FBOT user must have an individual account, and each FBOT will need to assign a user or users to have administrative privileges.

² Portal submissions of § 30.13 filings constitute electronic filing with the Secretary of the Commission as required by § 30.13(a)(1).

DMO staff plans to provide additional Portal instructions to each FBOT, including instructions on how to register for a Portal account; instructions on how to sign into a Portal account; and an Administrator Guide with information on the controls and notification functions for FBOT users with administrative privileges.

FBOTs should contact TechSupport@cftc.gov for technical support with Portal registration and filing. For other questions relating to FBOT registration or FBOT filings, FBOTs should contact DMO staff at FBOTapplications@cftc.gov.