<table>
<thead>
<tr>
<th>Version</th>
<th>Date</th>
<th>Rule Number</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>N/A</td>
<td>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.</td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>301</td>
<td>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.</td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>302</td>
<td>Added isCounterparty to the list of attributes.</td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>304</td>
<td>Split into individual rules for each form type: Rule 4304 for Form 102A, Rule 5304 for Form 102B, and Rule 6304 for Form 102S.</td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>305</td>
<td>Split into individual rules for each form type: Rule 4305 for Form 102A, Rule 5305 for Form 102B, and Rule 6305 for Form 102S.</td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>306</td>
<td>Split into individual rules for each form type: Rule 4306 for Form 102A, Rule 5306 for Form 102B, and Rule 6306 for Form 102S.</td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>307</td>
<td>Split into individual rules for each form type: Rule 4307 for Form 102A, Rule 5307 for Form 102B, and Rule 6307 for Form 102S.</td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>311</td>
<td>Split into individual rules for each form type: Rule 4311 for Form 102A, Rule 5311 for Form 102B, and Rule 6311 for Form 102S.</td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>312</td>
<td>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.</td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>313</td>
<td>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.</td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>314</td>
<td>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.</td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>315</td>
<td>Split into individual rules for each form type: Rule 4315 for Form 102A, Rule 5315 for Form 102B, and Rule 6315 for Form 102S.</td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>316</td>
<td>Split into individual rules for each form type: Rule 4316 for Form 102A, Rule 5316 for Form 102B, and Rule 6316 for Form 102S.</td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>317</td>
<td>Split into individual rules for each form type: Rule 4317 for Form 102A, Rule 5317 for Form 102B, and Rule 6317 for Form 102S.</td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>318</td>
<td>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.</td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>320</td>
<td>Split into individual rules for each form type: Rule 4320 for Form 102A, Rule 5320 for Form 102B, and Rule 6320 for Form 102S.</td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>321</td>
<td>Split into individual rules for each form type: Rule 4321 for Form 102A, Rule 5321 for Form 102B, and Rule 6321 for Form 102S.</td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>322</td>
<td>Split into individual rules for each form type: Rule 4322 for Form 102A, Rule 5322 for Form 102B, and Rule 6322 for Form 102S.</td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>323</td>
<td>Split into individual rules for each form type: Rule 4323 for Form 102A, Rule 5323 for Form 102B, and Rule 6323 for Form 102S.</td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>324</td>
<td>Split into individual rules for each form type: Rule 4324 for Form 102A, Rule 5324 for Form 102B, and Rule 6324 for Form 102S.</td>
</tr>
<tr>
<td>Date</td>
<td>Change Log</td>
<td></td>
<td></td>
</tr>
<tr>
<td>------------</td>
<td>---------------------------------------------------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 6/1/2016</td>
<td>Split into individual rules for each form type: Rule 4326 for Form 102A, Rule 5326 for Form 102B, and Rule 6326 for Form 102S.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 6/1/2016</td>
<td>Added to require country field when Foreign Privacy Exception attribute is marked as yes.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 6/1/2016</td>
<td>Added to require country field when Foreign Privacy Exception attribute is marked as yes.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 6/1/2016</td>
<td>Modified to check for required fields for Trading Account Owner only if Foreign Privacy Exception is 'N'.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 6/1/2016</td>
<td>Modified to check for required fields for Trading Account Owner only if Foreign Privacy Exception is 'N'.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 6/1/2016</td>
<td>Modified to check for required fields for Trading Account Owner only if Foreign Privacy Exception is 'N'.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 6/1/2016</td>
<td>Modified to check for required fields for Trading Account Owner only if Foreign Privacy Exception is 'N'.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 6/1/2016</td>
<td>Modified to check for required fields for Trading Account Owner only if Foreign Privacy Exception is 'N'.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 6/1/2016</td>
<td>Modified to check for required fields for Trading Account Controller only if Foreign Privacy Exception is 'N' and if Client Reporting Issue is '0'.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 6/1/2016</td>
<td>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).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 6/1/2016</td>
<td>For a Trading Account Owner, the Foreign Privacy Law Exception Indicator is required.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 6/1/2016</td>
<td>For a Trading Account Controller the Foreign Privacy Law Exception Indicator is required.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 6/1/2016</td>
<td>For a Trading Account Controller the Client Reporting Issue Indicator is required.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 6/1/2016</td>
<td>Modified to check for required fields for Volume Threshold Account Owner only if Foreign Privacy Exception is 'N'.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 6/1/2016</td>
<td>Modified to check for required fields for Volume Threshold Account Owner only if Foreign Privacy Exception is 'N'.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 6/1/2016</td>
<td>Modified to check for required fields for Volume Threshold Account Owner only if Foreign Privacy Exception is 'N'.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 6/1/2016</td>
<td>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'.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 6/1/2016</td>
<td>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).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 6/1/2016</td>
<td>For a Volume Threshold Account Controller the Client Reporting Issue Indicator is required.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 6/1/2016</td>
<td>For a Volume Threshold Account Owner, the Foreign Privacy Law Exception Indicator is required.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 6/1/2016</td>
<td>For a Volume Threshold Account Controller the Foreign Privacy Law Exception Indicator is required.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 6/1/2016</td>
<td>Modified to be an external warning. Per CFTC No-Action Letter No. 16-32, this information is optional.</td>
<td></td>
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<tr>
<td>2</td>
<td>6/1/2016</td>
<td>603</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Modified to be an external warning. Per CFTC No-Action Letter No. 16-32, this information is optional.</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>604</td>
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<tr>
<td></td>
<td></td>
<td>Modified to be an external warning. Per CFTC No-Action Letter No. 16-32, this information is optional.</td>
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<tr>
<td>2</td>
<td>6/1/2016</td>
<td>605</td>
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<td></td>
<td></td>
<td>Modified to be an external warning. Per CFTC No-Action Letter No. 16-32, this information is optional.</td>
<td></td>
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<tr>
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<td>6/1/2016</td>
<td>606</td>
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<td></td>
<td></td>
<td>Modified to be an external warning. Per CFTC No-Action Letter No. 16-32, this information is optional.</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>607</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Modified to be an external warning. Per CFTC No-Action Letter No. 16-32, this information is optional.</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>608</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Modified to be an external warning. Per CFTC No-Action Letter No. 16-32, this information is optional.</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>609</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Changed to inactive, due to CFTC No-Action Letter No. 16-32: Consolidated Account Controller is optional.</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>610</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Modified to be an external warning. Per CFTC No-Action Letter No. 16-32, this information is optional.</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>611</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Modified to be an external warning. Per CFTC No-Action Letter No. 16-32, this information is optional.</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>612</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Changed to inactive - latest Technical Guidance makes these fields optional</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>613</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Changed to inactive - latest Technical Guidance makes this field optional</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>614</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>New validation for counterparty</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>615</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>New validation for counterparty. Rule made inactive, due to CFTC No-Action Letter No. 16-32: Consolidated Account Controller and Owner data is optional.</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>616</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>New validation for counterparty</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>617</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>New validation for counterparty</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>618</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>New validation for counterparty</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>622</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>New validation for counterparty</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>700-series</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>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.</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>701</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Split into individual rules for each form type: Rule 4701 for Form 102A, Rule 5701 for Form 102B, and Rule 6701 for Form 102S.</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>702</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Split into individual rules for each form type: Rule 4702 for Form 102A, Rule 5702 for Form 102B, and Rule 6702 for Form 102S.</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>703</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Split into individual rules for each form type: Rule 4703 for Form 102A, Rule 5703 for Form 102B, and Rule 6703 for Form 102S.</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>6/1/2016</td>
<td>704</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Split into individual rules for each form type: Rule 4704 for Form 102A, Rule 5704 for Form 102B, and Rule 6704 for Form 102S.</td>
<td></td>
</tr>
</tbody>
</table>

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.
<table>
<thead>
<tr>
<th>Rule Number</th>
<th>Rule Description</th>
<th>Valid Values</th>
<th>Error Message</th>
<th>XML Path</th>
<th>XML Condition</th>
</tr>
</thead>
<tbody>
<tr>
<td>101</td>
<td>FormNumber should be '102' for Form 102 submissions.</td>
<td>102</td>
<td>Invalid Form Number</td>
<td>cftcBatch/cftcForm102/@formNumber</td>
<td>cftcBatch/cftcForm102/@formNumber</td>
</tr>
<tr>
<td>102</td>
<td>AccountCategory for Form102 should always be populated and can be only 'SA' or 'VT' or 'CA'.</td>
<td>SA = Special Account (102A), VT = Volume Threshold Account (102B), CA = Consolidated Account (102S)</td>
<td>Invalid Reportable Account type Indicator</td>
<td>cftcBatch/cftcForm102/@accountCategory</td>
<td>cftcBatch/cftcForm102/@formNumber='102'</td>
</tr>
<tr>
<td>103</td>
<td>ReportingFirmEntityType can only be 'LE' at the Form102 coversheet level.</td>
<td>'LE'</td>
<td>Invalid Reporting Firm Entity Type.</td>
<td>cftcBatch/cftcForm102/@entityType</td>
<td>cftcBatch/cftcForm102/@formNumber='102'</td>
</tr>
<tr>
<td>104</td>
<td>Form Coversheet required fields when OptionalOrSuppFieldsSeparatelyReported='N'.</td>
<td>Missing Required fields</td>
<td>cftcBatch/cftcForm102/@legalEntityName 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</td>
<td>cftcBatch/cftcForm102/@optionalOrSuppFieldsSeparatelyReported='N' cftcBatch/cftcForm102/contact/@isAuthorizedRepresentative='N'</td>
<td></td>
</tr>
<tr>
<td>105</td>
<td>Required Reporting Firm Type.</td>
<td></td>
<td>cftcBatch/cftcForm102/@isFCM or cftcBatch/cftcForm102/@isCM or cftcBatch/cftcForm102/@isFB or cftcBatch/cftcForm102/@isSwapDealer or cftcBatch/cftcForm102/@isOther</td>
<td>cftcBatch/cftcForm102/@optionalOrSuppFieldsSeparatelyReported='N'</td>
<td></td>
</tr>
<tr>
<td>106</td>
<td>Required Reporting Firm Type Description when Reporting Firm Type is selected as &quot;Other&quot;.</td>
<td>Missing description for Other reporting firm type. (You have selected Other in reporting firm type.)</td>
<td>cftcBatch/cftcForm102/@otherDescription</td>
<td>cftcBatch/cftcForm102/@optionalOrSuppFieldsSeparatelyReported='N'</td>
<td></td>
</tr>
<tr>
<td>107</td>
<td>Required Signature information</td>
<td>Missing Signature Information</td>
<td>cftcBatch/cftcForm102/@isSigned cftcBatch/cftcForm102/@signInBehalfOf cftcBatch/cftcForm102/@submitDate</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Rule Number</td>
<td>Rule Description</td>
<td>Valid Values</td>
<td>Error Message</td>
<td>XML Path</td>
<td>XML Condition</td>
</tr>
<tr>
<td>-------------</td>
<td>-------------------------------------------------------</td>
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<td>---------------------------------------------------</td>
<td>----------------------------------------------------------------------------</td>
<td>--------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>201</td>
<td>Required authorized representative information</td>
<td></td>
<td>Missing Required Signature information</td>
<td>cftcBatch/cftcForm102/contact/@lastName</td>
<td>cftcBatch/cftcForm102/contact/@isAuthorizedRepresentative='Y'</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>cftcBatch/cftcForm102/contact/@firstName</td>
<td>cftcBatch/cftcForm102/contact/@isAuthorizedRepresentative='Y'</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>cftcBatch/cftcForm102/contact/@titleOrPosition</td>
<td>cftcBatch/cftcForm102/contact/@isAuthorizedRepresentative='Y'</td>
</tr>
<tr>
<td>202</td>
<td>For every Form 102 submission please provide one and only one signature information</td>
<td></td>
<td>For every Form 102 submission please provide one and only one signature information</td>
<td>cftcBatch/cftcForm102/contact</td>
<td>cftcBatch/cftcForm102/contact/@isAuthorizedRepresentative='Y'</td>
</tr>
<tr>
<td>Rule Number</td>
<td>Rule Description</td>
<td>Path</td>
<td>Error Message</td>
<td>XML Condition</td>
<td></td>
</tr>
<tr>
<td>-------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------------------------</td>
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<td>----------------</td>
<td></td>
</tr>
<tr>
<td>4301</td>
<td>For an non Omnibus account, Owner and controller should not be reported.</td>
<td>cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController=’Y’ OR cftcBatch/cftcForm102/relatedEntity/@isOwner=’Y’ OR cftcBatch/cftcForm102/@isOmnibus=’Y’</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4303</td>
<td>If a related account is provided, at least one of the following must be set to ’Y’: Originator, Owner, or Controller.</td>
<td>cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner=’Y’ OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController=’Y’ OR cftcBatch/cftcForm102/relatedAccount/@isOmnibus=’Y’</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4304</td>
<td>If a related account related entity is provided, at least one of the following must be set to ’Y’: Originator, Owner, or Controller.</td>
<td>cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner=’Y’ OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController=’Y’ OR cftcBatch/cftcForm102/relatedAccount/@isOmnibus=’Y’</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>4305</td>
<td>If a related account is provided, at least one of the following must be set to ’Y’: Originator, Owner, or Controller.</td>
<td>cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner=’Y’ OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController=’Y’ OR cftcBatch/cftcForm102/relatedAccount/@isOmnibus=’Y’</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4306</td>
<td>If a related account related entity is provided, at least one of the following must be set to ’Y’: Originator, Owner, or Controller.</td>
<td>cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner=’Y’ OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController=’Y’ OR cftcBatch/cftcForm102/relatedAccount/@isOmnibus=’Y’</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4307</td>
<td>If a related entity is provided, at least one of the following must be set to ’Y’: Originator, Owner, or Controller.</td>
<td>cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner=’Y’ OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController=’Y’ OR cftcBatch/cftcForm102/relatedAccount/@isOmnibus=’Y’</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4308</td>
<td>For an Omnibus account, Owner and controller should not be reported.</td>
<td>cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner=’Y’ OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController=’Y’ OR cftcBatch/cftcForm102/@isOmnibus=’Y’</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4309</td>
<td>For an non Omnibus account, Owner and controller should be reported.</td>
<td>cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner=’Y’ OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController=’Y’ OR cftcBatch/cftcForm102/@isOmnibus=’Y’</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Duplicate records exist in the file.

Contact information must not be provided when EntityType is 'NP'.

Contact information must not be provided when EntityType is 'NP'.

The legal entity identifier (LEI) should not be null in LEI database.

Identify duplicate forms within a file.

The legal entity identifier (LEI) must be available in the LEI provider data.

The legal entity identifier (LEI) should not be null in LEI database.

The legal entity identifier (LEI) should not be null in LEI database.

Identify duplicate forms within a file.

Identify duplicate forms within a file.

The legal entity identifier (LEI) should not be null in LEI database.

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.

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.

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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.
For an non Omnibus account, Owner and controller should be reported.

If a related entity is provided with ISFM set to 'Y', then none of the following must be set to 'Y': isOriginator, isOwner, isController.

Invalid NFAIdentifier

Invalid LegalEntityIdentifier
<table>
<thead>
<tr>
<th>IR</th>
<th>Type</th>
<th>Rule Details</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>022</td>
<td>Invalid EmployerLEI</td>
<td>$\text{cftcBatch/cftcForm102/contact/@employerLEI}$ OR $\text{cftcBatch/cftcForm102/relatedEntity/@employerLEI}$ OR $\text{cftcBatch/cftcForm102/relatedEntity/contact/@employerLEI}$ OR $\text{cftcBatch/cftcForm102/relatedAccount/relatedEntity/@employerLEI}$ OR $\text{cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@employerLEI}$</td>
<td>N/A</td>
</tr>
<tr>
<td>022</td>
<td>Invalid EmployerNFAIdentifier</td>
<td>$\text{cftcBatch/cftcForm102/contact/@employerNFAIdentifier}$ OR $\text{cftcBatch/cftcForm102/relatedEntity/@employerNFAIdentifier}$ OR $\text{cftcBatch/cftcForm102/relatedEntity/contact/@employerNFAIdentifier}$ OR $\text{cftcBatch/cftcForm102/relatedAccount/relatedEntity/@employerNFAIdentifier}$ OR $\text{cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@employerNFAIdentifier}$</td>
<td>N/A</td>
</tr>
<tr>
<td>022</td>
<td>Invalid Telephone</td>
<td>$\text{cftcBatch/cftcForm102/relatedEntity/@telephone}$ OR $\text{cftcBatch/cftcForm102/relatedEntity/contact/@telephone}$ OR $\text{cftcBatch/cftcForm102/relatedAccount/relatedEntity/@telephone}$ OR $\text{cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@telephone}$</td>
<td>N/A</td>
</tr>
<tr>
<td>022</td>
<td>Invalid Email</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>022</td>
<td>Invalid Website</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>022</td>
<td>Invalid Website</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>022</td>
<td>Invalid Website</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>022</td>
<td>Invalid Website</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>022</td>
<td>Invalid Website</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>022</td>
<td>Invalid Website</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>022</td>
<td>Invalid Website</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>022</td>
<td>Invalid Website</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>022</td>
<td>Invalid Website</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>022</td>
<td>Invalid Website</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>Rule</td>
<td>Description</td>
<td>Violation Path</td>
<td>Violation Message</td>
</tr>
<tr>
<td>------</td>
<td>-------------</td>
<td>----------------</td>
<td>------------------</td>
</tr>
<tr>
<td>6324</td>
<td>Invalid Telephone</td>
<td>cftcBatch/cftcForm102/relatedEntity/@telephone OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/contact/@telephone OR cftcBatch/cftcForm102/relatedAccount/relatedEntity/@telephone</td>
<td>N/A</td>
</tr>
<tr>
<td>325</td>
<td>The isCounterparty flag should only be set to Yes when the Account Category is equal to CA (Consolidated Account)</td>
<td>cftcBatch/cftcForm102/@accountCategory&lt;&gt;'CA'</td>
<td></td>
</tr>
<tr>
<td>4326</td>
<td>The isCounterparty flag should not be set for Related Account Related Entity</td>
<td>cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isCounterParty='Y'</td>
<td></td>
</tr>
<tr>
<td>5326</td>
<td>The isCounterparty flag should not be set for Related Account Related Entity</td>
<td>cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isCounterParty='Y'</td>
<td></td>
</tr>
<tr>
<td>6326</td>
<td>The isCounterparty flag should not be set for Related Account Related Entity</td>
<td>cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isCounterParty='Y'</td>
<td></td>
</tr>
<tr>
<td>330</td>
<td>If a related entity specifies that Foreign Privacy Law Exception Indicator is 'Y' then the country field is required</td>
<td>cftcBatch/cftcForm102/relatedEntity@country</td>
<td></td>
</tr>
<tr>
<td>331</td>
<td>For a trading account, if a related entity specifies that Foreign Privacy Law Exception Indicator is 'Y' then the country field is required</td>
<td>cftcBatch/cftcForm102/relatedAccount/relatedEntity@country</td>
<td></td>
</tr>
<tr>
<td>332</td>
<td>For a trading account, if a related entity specifies that Foreign Privacy Law Exception Indicator is 'Y' then the country field is required</td>
<td>cftcBatch/cftcForm102/relatedAccount/relatedEntity@country</td>
<td></td>
</tr>
<tr>
<td>Qtn # in Final Rule</td>
<td>Rule Number</td>
<td>Rule Description</td>
<td>Valid Values</td>
</tr>
<tr>
<td>---------------------</td>
<td>-------------</td>
<td>------------------</td>
<td>--------------</td>
</tr>
<tr>
<td>2</td>
<td>401</td>
<td>OriginReason must always be populated for Special Accounts (Form102A) and can only be ‘OC’, ‘OM’, or ‘CC’</td>
<td>CC = Control of a reportable position</td>
</tr>
<tr>
<td>2.3</td>
<td>402</td>
<td>AccountName should always be populated if AccountNumber is populated for SpecialAccount</td>
<td>special account name must be provided if Special account number is provided.</td>
</tr>
<tr>
<td>2.5</td>
<td>403</td>
<td>If the reported Special Account is an OmnibusAccount, accountClass must be populated</td>
<td>Special Account Owner Indicator must be set to ‘Y’ if and only if OriginReason is ‘OC’.</td>
</tr>
<tr>
<td>2.6</td>
<td>404</td>
<td>If OriginReason is ‘OC’ then indicate that the specialaccount is an owner</td>
<td>Special Account Controller Indicator must be set to ‘Y’ if and only if OriginReason is ‘CC’ or ‘OC’</td>
</tr>
<tr>
<td>2.7</td>
<td>407</td>
<td>If OriginReason is ‘CC’ or ‘OC’ then indicate that the specialaccount is a controller</td>
<td>If OriginReason is ‘CC’ or ‘OC’ then one and only one special account controller must be provided</td>
</tr>
<tr>
<td>2.7,6</td>
<td>408</td>
<td>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</td>
<td>If a Special Account Controller Entity Type is ‘LE’ and if OptionalOrSuppFieldsSeparatelyReported is ‘N’, then the required fields must be provided.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>street</td>
</tr>
</tbody>
</table>

Form 102A
If a Special Account Controller Type is ‘NP’ or an Originator, then OmnisbusAccountOriginatorEntity must only be ‘LE’.

ContactEmail
ContactTelephone
ContactTitle
ContactFirstName
ContactLastName
PostalCode
Country
State
City
street
LegalEntityName
EmailAddress

If OriginReason is ‘OM’ then isOmnibus is ‘Y’.
IsOriginator is ‘Y’ then isOmnibus is ‘Y’.

If a Special Account Controller Type is ‘NP’ or an Originator, then LogialEntityName required fields must be provided:
EmailAddress
PostalCode
Country
State
City
street
LegalEntityName
EmailAddress

If optionalOrSuppFieldsSeparatelyReported is ‘N’, then the following fields must be provided:
PostalCode
Country
State
City
street
LegalEntityName
EmailAddress

If a Special Account Controller Type is ‘NP’ or an Originator, then OmnisbusAccountOriginatorEntity required fields must be provided.

IsTradingAccount is ‘Y’ only if a related account is reported.
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 from type clearing member indicator must be set to ‘Y’.

If OriginReason is ‘OM’ then isOmnibus is ‘Y’.

IsOriginator is ‘Y’ only if a related account is acting as a clearing member.
Special Account Trading Account indicator is set to ‘Y’ only if a related account is reported.
If OriginReason is 'OC' then at least one Trading Account must be provided.

If Trading Account is Omnibus is set to 'Y' then Trading Account Omnibus Account must be provided.

If Trading Account Owner Entity Type is 'LE' and if optionalOrSuppFieldsSeparatelyReported is 'N', then trading account owner must be provided.

One and only one Trading Account omnibus originator must be provided.

If Trading Account Owner Entity Type is 'LE' and if optionalOrSuppFieldsSeparatelyReported is 'N', then 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.

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 OriginReason is 'OC' then at least one SpecialAccountOwner 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.
If a trading account owner entity type is a 'LE', required fields must be provided if optionalOrSuppFieldsSeparatelyReported is 'Y', and if followOnInformationToCome is 'N'.

If a trading account owner entity type is a 'NP', name must be provided if optionalOrSuppFieldsSeparatelyReported is 'Y', and if followOnInformationToCome is 'N'.

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').

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').

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').
<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.10(i)</td>
<td>If followOnInformationToCome = 'Y' then the following fields must be provided for Trading Account Controller. Street, City, State, Country, PostalCode, Telephone, Email, ContactTitle, ContactFirstName, ContactLastName.</td>
</tr>
<tr>
<td>2.10(ii)</td>
<td>If followOnInformationToCome = 'N' then trading account controller required fields must be provided.</td>
</tr>
<tr>
<td>11</td>
<td>If a reporting firm indicated that it is a foreign broker, then the reporting firm’s U.S. Futures Commission Merchant indicator must be provided. At least one U.S. FCM related entity must be provided. If only if a reporting firm indicated that it is a foreign broker, then the reporting firm’s U.S. Futures Commission Merchant indicator must be provided.</td>
</tr>
<tr>
<td>11</td>
<td>The U.S. Futures Commission Merchant entity type can only be ‘LE’.</td>
</tr>
<tr>
<td>11</td>
<td>If reporting firm is a Foreign Broker, then the required fields for the U.S. Futures Commission merchant must be provided.</td>
</tr>
<tr>
<td>2.7</td>
<td>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.</td>
</tr>
</tbody>
</table>

**Form 102A Validation Rules Version 2.0 - Final**
<table>
<thead>
<tr>
<th>Qsn # in Form Rule</th>
<th>Rule Number</th>
<th>Rule Description</th>
<th>Valid Values</th>
<th>Error Message</th>
<th>XML Path</th>
<th>XML Condition</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>501</td>
<td>TradingAccountNumber, ShortCodes, and ReportingMarket must be provided for volume threshold account</td>
<td>The Trading Account Number, Short Code(s), and associated Reporting Market must be provided for the reported volume threshold account.</td>
<td>cftcBatch/cftcForm102/@accountNumber</td>
<td>cftcBatch/cftcForm102/@accountCategory='VT'</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>502</td>
<td>If the volume threshold account has been previously identified as a trading account that comprises a special account() reported by a clearing member in question 9 of a 102A, provide the associated special account number(s).</td>
<td>Account Number must be provided for a volume threshold account that was previously identified as trading account that comprises a special account(s).</td>
<td>cftcBatch/cftcForm102/@accountNumber</td>
<td>cftcBatch/cftcForm102/relatedAccount/@accountCategory='VT'</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>503</td>
<td>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.</td>
<td>H = House</td>
<td>cftcBatch/cftcForm102/@accountClass</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>504</td>
<td>One and only one Volume Threshold Account Omnibus Account Originator must be provided.</td>
<td>One and only one Volume Threshold Account Omnibus Account Originator must be provided.</td>
<td>cftcBatch/cftcForm102/relatedEntity</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>505</td>
<td>Volume Threshold Account Omnibus Account Originator Indicator must be set to 'Y' only if Volume Threshold Account Omnibus Account Originator indicator is set to 'Y'.</td>
<td>Volume Threshold Account Omnibus Account Originator Indicator must be set to &quot;Y&quot; if and only if Volume Threshold Account Omnibus Account Originator indicator is set to &quot;Y&quot;.</td>
<td>cftcBatch/cftcForm102/relatedEntity/@isOriginator='Y'</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>506</td>
<td>Volume Threshold Account Omnibus Account Originator Entity Type must only be 'LE'</td>
<td>Volume Threshold Account Omnibus Account Originator Entity Type must only be 'LE'.</td>
<td>cftcBatch/cftcForm102/relatedEntity/@entityType='LE'</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>507</td>
<td>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</td>
<td>The Volume Threshold Account Omnibus Account Originator required fields must be provided.</td>
<td>cftcBatch/cftcForm102/relatedEntity/</td>
<td>cftcBatch/cftcForm102/relatedEntity/@isOwner='Y'</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>508</td>
<td>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.</td>
<td>LE</td>
<td>cftcBatch/cftcForm102/relatedEntity/@legalEntityName</td>
<td>cftcBatch/cftcForm102/@accountCategory='VT'</td>
<td></td>
</tr>
</tbody>
</table>
If a Volume Threshold Account Owner is ‘LE’.

If a Volume Threshold Account Owner is ‘NP’ and if followOnInformationToCome is ‘N’ then the required fields must be provided.

If a Volume Threshold Account Owner is ‘NP’, optionalOrSuppFieldsSeparatelyReported is ‘N’ and if followOnInformationToCome is ‘N’ then the Owner first name and last name must be provided.

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.

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.

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.

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.

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.

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.

The Volume threshold account controller must be only a natural person.

The Volume threshold account controller name must always be provided.

The Volume threshold account controller name must be provided.

The Volume Threshold Account controller must only be ‘NP’. If optionalOrSuppFieldsSeparatelyReported is ‘N’ and if followOnInformationToCome is ‘N’ then the required fields must be provided.

If required fields have not been identified as part of follow-on information to be provided, they must be provided in this submission.
<table>
<thead>
<tr>
<th>NAL</th>
<th>515</th>
<th>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.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td><code>&lt;cftcBatch/cftcForm102/relatedEntity/@clientReportingIssue&gt;</code> <code>&lt;cftcBatch/cftcForm102/@accountCategory = 'VT'</code> <code>&lt;cftcBatch/cftcForm102/@isOmnibus='N'</code> <code>&lt;cftcBatch/cftcForm102/relatedEntity/@isController='Y'</code></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>NAL</th>
<th>517</th>
<th>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.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td><code>&lt;cftcBatch/cftcForm102/relatedEntity/@foreignPrivacyException&gt;</code> <code>&lt;cftcBatch/cftcForm102/@accountCategory = 'VT'</code> <code>&lt;cftcBatch/cftcForm102/@OptionalOrSuppFieldsSeparatelyReported='N'</code> <code>&lt;cftcBatch/cftcForm102/relatedEntity/@isOwner='Y'</code></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>NAL</th>
<th>518</th>
<th>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.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td><code>&lt;cftcBatch/cftcForm102/relatedEntity/@foreignPrivacyException&gt;</code> <code>&lt;cftcBatch/cftcForm102/@accountCategory = 'VT'</code> <code>&lt;cftcBatch/cftcForm102/@OptionalOrSuppFieldsSeparatelyReported='N'</code> <code>&lt;cftcBatch/cftcForm102/relatedEntity/@isController='Y'</code></td>
</tr>
<tr>
<td>Rule Number</td>
<td>Rule Description</td>
<td>Valid Values</td>
</tr>
<tr>
<td>-------------</td>
<td>--------------------------------------------------------------------------------------------------------------------------</td>
<td>--------------</td>
</tr>
</tbody>
</table>
| 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' |
| 603         | An Omnibus Account Originator Entity value can only be 'LE'                                                               |              | 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' |
| 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 ContactTelephoneNumber 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' |
| 605         | If the reported Consolidated Account is being reported as a 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'                                                                 |
| 606         | If the reported Consolidated Account is being reported as a non-Omnibus Account, originator information should not exist.  |              | A Non-Omnibus Account Originator information cannot exist.                   | cftcBatch/cftcForm102/relatedEntity                                                              | cftcBatch/cftcForm102/@accountCategory='CA'  
cftcBatch/cftcForm102/@isOmnibus='N'  
cftcBatch/cftcForm102/relatedEntity/@isOriginator='Y'                                                                 |
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
- 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:

- LegalEntityName
- street
- state
- City
- Country
- PostalCode
- Telephone
- ContactLastName
- ContactFirstName
- ContactTitle
- ContactRelationship
- ContactEmail

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:

- ContactEmail
- ContactTelephone
- ContactRelationship
- ContactTitle
- ContactFirstName
- ContactLastName
- Telephone
- PostalCode
- Country
- state
- City
- street
- LegalEntityName

If the reported Consolidated Account is being reported to an LEI provider, then the required fields must be provided:

- ContactEmail
- ContactTelephone
- ContactRelationship
- ContactTitle
- ContactFirstName
- ContactLastName
- Telephone
- PostalCode
- Country
- state
- City
- street
- LegalEntityName

If a Consolidated Account Controller is a legal entity and if optional/supplemental fields have not been separately provided to an LEI provider, then the required fields must be provided:

- LegalEntityName
- street
- state
- City
- Country
- PostalCode
- Telephone
- ContactLastName
- ContactFirstName
- ContactTitle
- ContactRelationship
- ContactEmail
<table>
<thead>
<tr>
<th>Rule</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>611</td>
<td>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</td>
</tr>
<tr>
<td>612</td>
<td>If accountCategory is 'CA' then at least one of the following must be set to 'Y': isSwap or isSwaption</td>
</tr>
<tr>
<td>613</td>
<td>If accountCategory is 'CA' then at least one description of paired swap or swaption market activity must be provided.</td>
</tr>
<tr>
<td>614</td>
<td>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.</td>
</tr>
<tr>
<td>615</td>
<td>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.</td>
</tr>
<tr>
<td>616</td>
<td>For a non-omnibus Consolidated Account, an originator cannot be the counterparty. For a non-omnibus Consolidated Account, an originator cannot be the counterparty.</td>
</tr>
<tr>
<td>617</td>
<td>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, ContactTelephoneNumber, ContactEmail.</td>
</tr>
</tbody>
</table>
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'
```

For a consolidated account that is a counterparty, the Foreign Privacy Law Exception Indicator is required.

```
cftcBatch/cftcForm102/relatedEntity/@foreignPrivacyException
ncftcBatch/cftcForm102/@accountCategory='CA'
cftcBatch/cftcForm102/relatedEntity/@isCounterparty='Y'
```
<table>
<thead>
<tr>
<th>Qsn # in Final Rule</th>
<th>Rule Number</th>
<th>Rule Description</th>
<th>Valid Values</th>
<th>Error Message</th>
<th>XML Path</th>
<th>XML Condition</th>
</tr>
</thead>
<tbody>
<tr>
<td>102A/102B/102S</td>
<td>701</td>
<td>The legal entity identifier (LEI) should not be null when <code>optionalOrSuppFieldsSeparatelyReported</code> indicator is set to 'Y'.</td>
<td>Legal Entity Identifier must be provided when <code>optionalOrSuppFieldsSeparatelyReported</code> is 'Y'.</td>
<td></td>
<td>cftcBatch/cftcForm102/@legalEntityIdentifier</td>
<td>cftcBatch/cftcForm102/@optionalOrSuppFieldsSeparatelyReported='Y'</td>
</tr>
<tr>
<td>102A/102B/102S</td>
<td>702</td>
<td>The legal entity identifier (LEI) should not be null when <code>optionalOrSuppFieldsSeparatelyReported</code> indicator is set to 'Y'.</td>
<td>Legal Entity Identifier must be provided when <code>optionalOrSuppFieldsSeparatelyReported</code> is 'Y'.</td>
<td></td>
<td>cftcBatch/cftcForm102/relatedEntity/@legalEntityIdentifier</td>
<td>cftcBatch/cftcForm102/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y'</td>
</tr>
<tr>
<td>102A/102B/102S</td>
<td>703</td>
<td>The legal entity identifier (LEI) should not be null when <code>optionalOrSuppFieldsSeparatelyReported</code> indicator is set to 'Y'.</td>
<td>Legal Entity Identifier must be provided when <code>optionalOrSuppFieldsSeparatelyReported</code> is 'Y'.</td>
<td></td>
<td>cftcBatch/cftcForm102/relatedAccount/relatedEntity/@legalEntityIdentifier</td>
<td>cftcBatch/cftcForm102/relatedAccount/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y'</td>
</tr>
<tr>
<td>102A/102B/102S</td>
<td>704</td>
<td>The legal entity identifier (LEI) should not be null when <code>optionalOrSuppFieldsSeparatelyReported</code> indicator is set to 'Y'.</td>
<td>Legal Entity Identifier must be provided when <code>optionalOrSuppFieldsSeparatelyReported</code> is 'Y'.</td>
<td></td>
<td>cftcBatch/cftcForm102/contact/@lastName</td>
<td>cftcBatch/cftcForm102/contact/@firstName</td>
</tr>
</tbody>
</table>

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.
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.

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.
If a Special Account Controller Entity Type 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. ContactFirstName ContactLastName ContactRelationship ContactEmail

For a Special Account Owner 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/relatedAccount/relatedEntity/@legalEntityName
cftcBatch/cftcForm102/relatedAccount/relatedEntity/@street
cftcBatch/cftcForm102/relatedAccount/relatedEntity/@city
cftcBatch/cftcForm102/relatedAccount/relatedEntity/@state
cftcBatch/cftcForm102/relatedAccount/relatedEntity/@postalCode
cftcBatch/cftcForm102/relatedAccount/relatedEntity/@country
cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner='Y'
cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController='Y'
cftcBatch/cftcForm102/relatedAccount/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y'
cftcBatch/cftcForm102/relatedAccount/@isOmnibus='Y'
cftcBatch/cftcForm102/@isCM='Y'
cftcBatch/cftcForm102/@originReason in ('CC','OC')
cftcBatch/cftcForm102/@accountCategory='SA'

If 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. ContactFirstName ContactLastName ContactRelationship 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/relatedAccount/@isTradingAccount='Y'
cftcBatch/cftcForm102/relatedAccount/relatedEntity/@entityType='LE'
cftcBatch/cftcForm102/@originReason in ('CC','OC')
cftcBatch/cftcForm102/@accountCategory='SA'

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 ContacttoPromise

For 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/relatedAccount/relatedEntity/@legalEntityName
cftcBatch/cftcForm102/relatedAccount/relatedEntity/@street
cftcBatch/cftcForm102/relatedAccount/relatedEntity/@city
cftcBatch/cftcForm102/relatedAccount/relatedEntity/@state
cftcBatch/cftcForm102/relatedAccount/relatedEntity/@postalCode
cftcBatch/cftcForm102/relatedAccount/relatedEntity/@country
cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isOwner='Y'
cftcBatch/cftcForm102/relatedAccount/relatedEntity/@isController='Y'
cftcBatch/cftcForm102/relatedAccount/relatedEntity/@optionalOrSuppFieldsSeparatelyReported='Y'
cftcBatch/cftcForm102/relatedAccount/@isOmnibus='Y'
cftcBatch/cftcForm102/@isCM='Y'
cftcBatch/cftcForm102/@originReason in ('CC','OC')
cftcBatch/cftcForm102/@accountCategory='SA'

If 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 ContacttoPromise

For 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/@isTradingAccount='Y'
cftcBatch/cftcForm102/relatedAccount/relatedEntity/@entityType='LE'
cftcBatch/cftcForm102/@originReason in ('CC','OC')
cftcBatch/cftcForm102/@accountCategory='SA'

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 ContacttoPromise

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/@isTradingAccount='Y'
cftcBatch/cftcForm102/relatedAccount/relatedEntity/@entityType='LE'
cftcBatch/cftcForm102/@originReason in ('CC','OC')
cftcBatch/cftcForm102/@accountCategory='SA'

If for a Trading Account Omnibus Account Entity Type 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. LegalEntityName street City state Country PostalCode Telephone ContacttoPromise

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/@isTradingAccount='Y'
cftcBatch/cftcForm102/relatedAccount/relatedEntity/@entityType='LE'
cftcBatch/cftcForm102/@originReason in ('CC','OC')
cftcBatch/cftcForm102/@accountCategory='SA'

If for a Trading Account Omnibus Account Entity Type 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. LegalEntityName street City state Country PostalCode Telephone ContacttoPromise

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/@isTradingAccount='Y'
cftcBatch/cftcForm102/relatedAccount/relatedEntity/@entityType='LE'
cftcBatch/cftcForm102/@originReason in ('CC','OC')
cftcBatch/cftcForm102/@accountCategory='SA'

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OptionalOrSuppFields
If a Trading Account Owner EntityType is 'LE' and followOnInformationToCome is 'Y', 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, ContactFirstName, ContactLastName, ContactEmail, ContactTitle, ContactRelationship, ContactTelephone, ContactFax.

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.

If a Trading Account Owner EntityType is 'NP' and followOnInformationToCome is 'Y', 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:

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.

For a Volume Threshold Account Omnibus Account:

4.105()102 A) 112 If a Trading Account Owner EntityType is 'LE' and followOnInformationToCome is 'Y', 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, ContactFirstName, ContactLastName, ContactEmail, ContactTitle, ContactRelationship, ContactTelephone, ContactFax.

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.

If a Trading Account Owner EntityType is 'NP' and followOnInformationToCome is 'Y', 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:

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.

For a Volume Threshold Account Omnibus Account:

4.105()102 A) 113 If a Trading Account Owner EntityType is 'NP' and followOnInformationToCome is 'Y', 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, ContactFirstName, ContactLastName, ContactEmail, ContactTitle, ContactRelationship, ContactTelephone, ContactFax.

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.

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: LegalEntityName, ContactFirstName, ContactLastName, ContactEmail, ContactTitle, ContactRelationship, ContactTelephone, ContactFax.

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.

For a Volume Threshold Account Omnibus Account:

4.105()102 A) 114 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: LegalEntityName, ContactFirstName, ContactLastName, ContactEmail, ContactTitle, ContactRelationship, ContactTelephone, ContactFax.

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.

For a Volume Threshold Account Omnibus Account:

4.105()102 A) 15 If 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, ContactFirstName, ContactLastName, ContactEmail, ContactTitle, ContactRelationship, ContactTelephone, ContactFax.

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.

For a Volume Threshold Account Omnibus Account:

4.105()102 B) 15 If 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, ContactFirstName, ContactLastName, ContactEmail, ContactTitle, ContactRelationship, ContactTelephone, ContactFax.

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.
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. 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.

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.

For a Volume Threshold Account Owner identified as a natural person whose name was 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.

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.

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.
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.

- LegalEntityName
- street
- state
- City
- Country
- PostalCode
- Telephone
- ContactLastName
- ContactFirstName
- ContactTitle
- ContactRelationship
- ContactTelephone
- ContactEmail

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.

- 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

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.

- 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

For 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.

- LegalEntityName
- street
- state
- City
- Country
- PostalCode
- Telephone
- Email
- ContactLastName
- ContactFirstName
- ContactTitle
- ContactRelationship
- ContactTelephone
- ContactEmail

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.

- 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

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.

- 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

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.

- FirstName
- LastName
- street
- City
- state
- Country
- PostalCode
- Telephone
- Email

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.

- 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
### Form 102 Validation Rules Version 2.0 - Final

#### 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**

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.

**CFTC Batch**
- `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`

**CFTC Form 102**
- `@accountCategory='CA'`
- `@isOmnibus='N'`
- `@isController='Y'`
- `@entityType='NP'`
- `@optionalOrSuppFieldsSeparatelyReported='Y'`

#### June 2016

**NAL**

#### 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**

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.

**CFTC Batch**
- `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/@relationship`
- `cftcBatch/cftcForm102/relatedEntity/contact/@telephone`
- `cftcBatch/cftcForm102/relatedEntity/contact/@email`

**CFTC Form 102**
- `@accountCategory='CA'`
- `@entityType='LE'`
- `@optionalOrSuppFieldsSeparatelyReported='Y'`
- `@isCounterparty='Y'`
<table>
<thead>
<tr>
<th>NAL</th>
<th>129</th>
</tr>
</thead>
</table>

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.

- FirstName
- LastName
- Street
- City
- State
- Country
- PostalCode
- Telephone
- Email

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.

- 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/@isCounterparty='Y'