

Section 102A – Identifying and reporting a special account.

1. New/Modified Indicator:

- Special account being reported for the first time
- Re-submitted or modified Information for a previously reported special account

2. Special Account Origination.

For each special account, indicate whether the account is being reported based on ownership of a reportable position, control of a reportable position, both ownership and control of a reportable position, or because it is an omnibus account with a reportable position (choose only one):

Ownership of a reportable position ⁷ (complete questions 3, 4, 6, 9, and 10)	<input type="checkbox"/>
Control of a reportable position (complete questions 3, 7, 9, and 10)	<input type="checkbox"/>
Ownership and control of a reportable position (complete questions 3, 6, 7, 9, and 10)	<input type="checkbox"/>
Omnibus account with a reportable position ⁸ (complete questions 3, 5, 8, 9, and 10)	<input type="checkbox"/>

3. Reporting number and name.⁹

Provide the reporting number and name of the special account.

Special Account Number:

Special Account Name:

4. House or Customer Indicator.

If the reported special account is being reported based on ownership of a reportable position, indicate whether the special account is a house or customer account of the reporting firm:

- HOUSE
- CUSTOMER

⁷ Reporting parties are not required to submit Form 102A based solely on ownership of a reportable position at this time.

⁸ Omnibus accounts are accounts that one futures commission merchant, clearing member or foreign broker carries for another in which the transactions of multiple individual accounts are combined. The identities of the holders of the individual accounts are not generally known or disclosed to the carrying firm.

⁹ Reporting firms shall assign a reporting number and name to each special account when it is reportable for the first time in futures or options on futures. If an account has been assigned a number and name for reporting in futures (options), use the same number and name for reporting options (futures). Such reporting number and name must not be changed or assigned to any other special account without the prior approval of the Commission.