

For each special account reported by an entity acting as a *clearing member*, provide the trading account number(s), and any related short code(s), that comprise this special account. Also identify the reporting market at which each trading account number appears.

Trading Account Number:
Short Code(s):
Reporting Market:

10. *Trading Account Ownership and Control Information.*

(i) *Omnibus Account Information.*

For each trading account identified in question 9, is such account an omnibus account, or used to execute trades for an omnibus account?

YES

NO

If NO, proceed to (ii) and (iii), below. If YES, indicate whether the account is a house or customer omnibus account and provide contact information for the originator of the omnibus account:²³

HOUSE

CUSTOMER

Name of Omnibus Account Originator: [For each field, check box if field reported to LEI provider in lieu of reported on this form

Street Address:

City:

State:

Country:

Zip/Postal Code:

Phone Number:²⁴

Contact Name:

Contact Job Title:

Contact Relationship to Originator:

Contact Phone Number:²⁵

²³ As above, house omnibus accounts exclusively contain the proprietary accounts of the omnibus account originator. Customer omnibus accounts contain the accounts of customers of the omnibus account originator. It is the obligation of the omnibus account originator to correctly identify the omnibus account type to the reporting entity.

²⁴ Please provide a direct number, without any telephone extension. Non-U.S. respondents should also provide the applicable international area code.