

Is the reported volume threshold account an omnibus account, or used to execute trades for an omnibus account?

YES

NO

If NO, proceed to (5) and (6), 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:³⁷

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:³⁸

Contact Name:

Contact Job Title:

Contact Relationship to Originator:

Contact Phone Number:³⁹

Contact Email Address:

Originator Website (if any):⁴⁰

Originator NFA ID (if any):

Originator Legal Entity Identifier (if any):⁴¹

³⁶ As above, 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.

³⁷ 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.

³⁸ Please provide a direct number, without any telephone extension. Non-U.S. respondents should also provide the applicable international area code.

³⁹ Please provide a direct number, without any telephone extension. Non-U.S. respondents should also provide the applicable international area code.

⁴⁰ The website and NFA ID requested in this question are only required to be reported to the extent the respondent has this information available in its records. Respondents are not required to poll customers or other parties for the website and NFA ID if this information has not been previously collected.

⁴¹ If the Originator Legal Entity Identifier was issued by the CICI Utility (or by any other CFTC-accepted LEI provider), then the reporting party is not required to report any of the fields marked above in bold and italics (Name of Omnibus Account Originator, Street Address, City, State, Country, and Zip/Postal Code (collectively, the "Optional Fields")) that were reported to the CICI Utility (or other CFTC-accepted LEI provider) and are associated with this Originator Legal Entity Identifier. Furthermore, in the event the CICI Utility (or any other CFTC-accepted LEI provider) is modified in the future to accept any of the underlined fields above (the