

5. *Volume Threshold Account Owner(s)*.

For each volume threshold account that is not an omnibus account, provide the requested information for each owner (“owner”).

Indicate whether the owner is a legal entity or a natural person:

Legal entity:

Natural person:

Name of Volume Threshold Account Owner(s): [For each field, check box if field reported to LEI provider in lieu of reported on this form

Follow-On Information:⁴²

<p><i>Street Address:</i></p> <p><i>City:</i></p> <p><i>State:</i></p> <p><i>Country:</i></p> <p><i>Zip/Postal Code:</i></p> <p><u>Phone Number:</u>⁴³</p> <p><u>Email Address (if owner(s) a natural person):</u></p> <p><u>Contact Name (provide only if owner is not a natural person):</u></p> <p><u>Contact Job Title:</u></p> <p><u>Contact Relationship to Owner:</u></p> <p><u>Contact Phone Number:</u>⁴⁴</p> <p><u>Contact Email Address:</u></p> <p><u>Owner Website (if any):</u>⁴⁵</p> <p><u>Owner NFA ID (if any):</u></p> <p><u>Owner Legal Entity Identifier (if any):</u>⁴⁶</p>

“Supplemental Fields”), then the reporting party will not be required to report any of the Supplemental Fields that were reported to the CICI Utility (or other CFTC-accepted LEI provider) and are associated with this Originator Legal Entity Identifier. Reporting parties that take advantage of such relief from duplicative reporting when making their web-based or FTP submission should check the box in the web form corresponding to the appropriate field (or make appropriate changes to their FTP data submission) to indicate that the omitted information has been reported to an LEI provider.

⁴² Follow-On Information may be submitted by the later date specified in § 17.02.

⁴³ Please provide a direct number, without any telephone extension. Non-U.S. respondents should also provide the applicable international area code.

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⁴⁵ 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.

⁴⁶ If the Owner 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 Volume Threshold Account Owner(s), 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 Owner 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 “Supplemental Fields”), then the reporting party will not be required to report any of the Supplemental Fields