

Section 102S – Identifying and reporting a swap counterparty or customer consolidated account with a reportable position (102S filing).

1. *New/Modified Indicator.*

- Counterparty or customer reported for the first time
- Re-submitted or modified Information for a previously reported counterparty or customer

2. *102S Identifier.* Please enter the identifier for the consolidated account reported herein. A 102S identifier is a unique identifier for each reporting entity or counterparty/customer as assigned by the reporting entity. If the reporting entity currently identifies a counterparty via Section 102A of a Form 102, the identifier used on Section 102A of the Form 102 may also be used for the 102S identifier, as long as the same legal entity is referenced.

102S identifier:

3. *Counterparty or Customer Ownership and Control Information.* Please provide the requested counterparty or customer contact information for both owners and controllers of the consolidated account.

(i) *Consolidated Account Type.* Please indicate the consolidated account type:

- HOUSE ACCOUNT
- CUSTOMER ACCOUNT

(ii) *Omnibus Account Information.*⁴⁹

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

- YES
- NO

If NO, proceed to (iii) and (iv), 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.⁵⁰

- HOUSE

⁴⁹ 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.

⁵⁰ 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.