

## BACKGROUND & GENERAL INSTRUCTIONS

**Who Must File a Form 71** – 17 CFR 17.01(c) requires each originator of (a) an omnibus volume threshold account or (b) an omnibus reportable sub-account (collectively, “Reporting Parties”) to file a Form 71 – Identification of Omnibus Accounts and Sub-Accounts with the Commodity Futures Trading Commission (“CFTC” or “Commission”).

**When to file** – Each Reporting Party must file a Form 71 on call by the Commission or its designee.

**Where to file** – The Form 71 shall be filed by submitting the completed form to the nearest CFTC office or as otherwise instructed by the Commission or its designee. Generally, a Form 71 should be submitted via the CFTC’s web-based Form 71 submission process at [www.cftc.gov](http://www.cftc.gov) or via a secure FTP data feed to the Commission. If submission attempts fail, the reporting trader shall contact the Commission at [techsupport@cftc.gov](mailto:techsupport@cftc.gov) for further technical support.

**Signature** – Each Form 71 submitted to the Commission must be signed or otherwise authenticated by an individual that is duly authorized by the relevant Reporting Party to provide the information and representations contained in the form.

**What to File** – Each Reporting Party must complete part A, the relevant question in part B, and part C. Unless otherwise noted, the terms used herein shall have the same meaning as ascribed in parts 15 to 21 of the Commission’s regulations.

Please be advised that pursuant to 5 CFR 1320.5(b)(2)(i), you are not required to respond to this collection of information unless it displays a currently valid OMB control number.