

3. If you allocated trades from account number [(auto-populated)] on [date (auto-populated)] on [reporting market (auto-populated)] that resulted in reportable trading volume for a recipient account, provide the following information for each such recipient account (hereafter, a “reportable sub-account”):

(a) *Identification of Omnibus Reportable Sub-Accounts.*

(i) Is the reportable sub-account an omnibus reportable sub-account?

- YES
- NO

(ii) If NO, proceed to (b) below. If YES, indicate whether the omnibus reportable sub-account is a house or customer omnibus account and provide the contact information of the originator of the omnibus account.⁵

- HOUSE
- CUSTOMER

Name of Reportable Sub-Account Originator:
Account Number of Reportable Sub-Account:⁶
Street Address:
City:
State:
Country:
Zip/Postal Code:
Phone Number:⁷
Contact Name:
 Contact Job Title:
 Contact Relationship to Originator:
 Contact Phone Number:⁸
 Contact Email Address:
Originator Website (if any):⁹
Originator NFA ID (if any):
Originator Legal Entity Identifier (if any):

(b) *Identification of Non-Omnibus Reportable Sub-Accounts:*

(i) For each reportable sub-account that is not an omnibus account, provide the requested information for each owner (“owner”) of the reportable sub-account.

⁵ 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.

⁶ The Account Number should be a number or other identifier that is known to the reportable sub-account originator.

⁷ Please provide a direct number, without any telephone extension. Non-U.S. respondents should also provide the applicable international area code.

⁸ Please provide a direct number, without any telephone extension. Non-U.S. respondents should also provide the applicable international area code.

⁹ 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.