U.S. COMMODITY FUTURES TRADING COMMISSION
Three Lafayette Centre
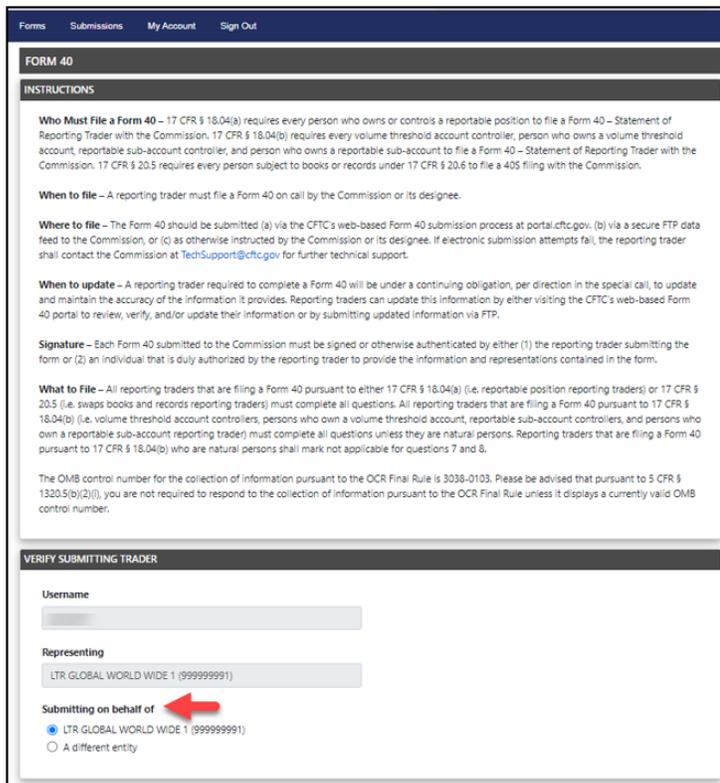### 1155 21st Street, NW, Washington, DC 20581

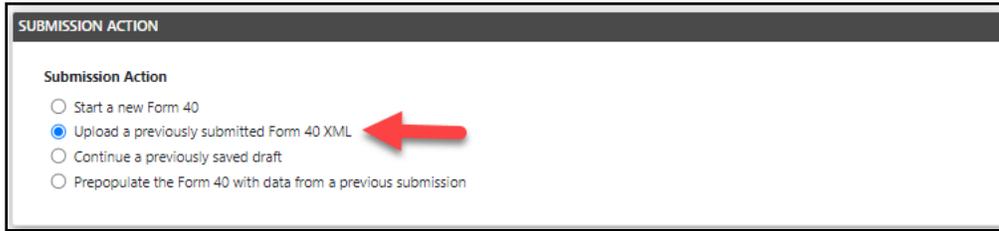# How do I amend a previously filed Form 40?

1. Upon login to the CFTC Portal home page, select "Form 40".

2. Under submitting on behalf of select your organization.

3. Under Submission Action select "Upload a previously submitted Form 40 XML"
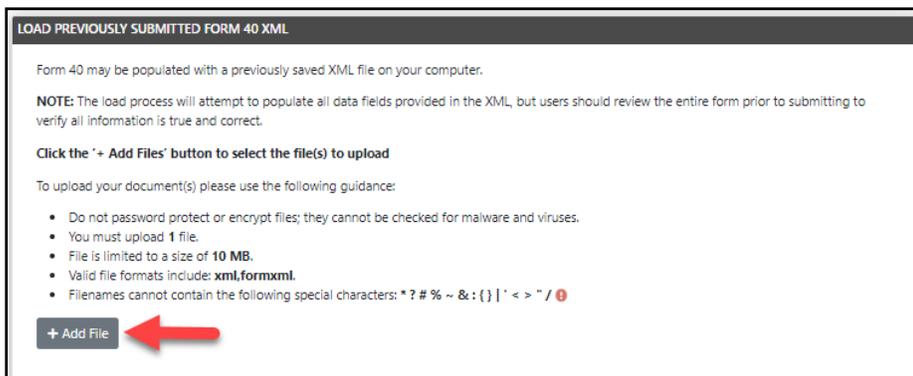

SUBMISSION ACTION

Submission Action
- ○ Start a new Form 40
- ● Upload a previously submitted Form 40 XML
- ○ Continue a previously saved draft
- ○ Prepopulate the Form 40 with data from a previous submission

4. Choose the desired Form 40 XML file by selecting [Add File].

LOAD PREVIOUSLY SUBMITTED FORM 40 XML

Form 40 may be populated with a previously saved XML file on your computer.

NOTE: The load process will attempt to populate all data fields provided in the XML, but users should review the entire form prior to submitting to verify all information is true and correct.
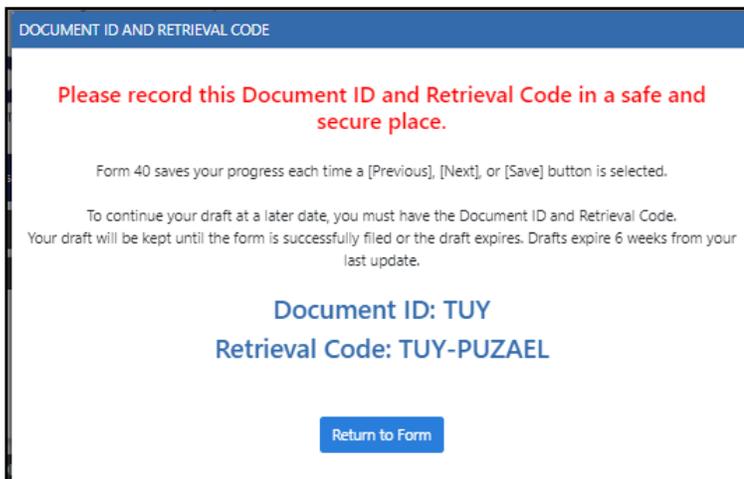
Click the '+ Add Files' button to select the file(s) to upload

To upload your document(s) please use the following guidance:

- Do not password protect or encrypt files; they cannot be checked for malware and viruses.
- You must upload **1 file**.
- File is limited to a size of **10 MB**.
- Valid file formats include: **xml, formxml**.
- Filenames cannot contain the following special characters: * ? # % ~ & : { } | ' < > " / ⓘ

[+ Add File]

5. Once the XML file has been uploaded, select 'continue' and a pop-up box will appear with the Document ID and Retrieval Code. Please record this information for future access to this draft. Once recorded, select [Return to Form].

DOCUMENT ID AND RETRIEVAL CODE

Please record this Document ID and Retrieval Code in a safe and secure place.

Form 40 saves your progress each time a [Previous], [Next], or [Save] button is selected.

To continue your draft at a later date, you must have the Document ID and Retrieval Code. Your draft will be kept until the form is successfully filed or the draft expires. Drafts expire 6 weeks from your last update.

Document ID: TUY

Retrieval Code: TUY-PUZAEL

[Return to Form]

6. The form is populated with the information from the uploaded XML file.