

How do I continue a previously saved draft version of Form 40?

This document provides an overview of the steps needed to continue a previously saved draft version of Form 40

1. After successfully signing in to the CFTC Portal, the user will be redirected to the Forms page.

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Forms Submissions My Account Sign Out	
FORMS	
LARGE TRADERS (LTR)	
Form 40 Statement of Reporting Trader	

2. Select "Form 40" on the CFTC Portal Forms page.

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Forms Submissions My Account Sign Out	
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3. In the Verify Submitting Trader section, there is a radio button list called "Submitting on behalf of ". In this example we select the company "LTR Global Worldwide 1". Next, in the radio button list for "Submission Action", select "Continue a previously saved draft".

NIXELUCTIONS Who Must File a form 40 – 17 CFR \$ 18.04(a) requires every person who owns or controls a reportable position to file a Form 40 – Statement of Reporting Trader with the Commission. 17 CFR \$ 18.04(a) requires every volume threshold account controline, person who owns a reportable sub-account controline, person who owns a reportable sub-account controline. The Form 40 and who owns a reportable sub-account for adverse threshold account reportable sub-account for adverse threshold account reportable sub-account for adverse threshold account controls are person. When to file – A reporting trader must file a form 40 on call by the Commission or 16 designee. Numer to file – The Form 40 advalued be submitted (a) via the CFTCs web-based form 40 submission process at portaic/tragov. (b) via a secure FTP data feed to the Commission at TechSupport(bridgev for further technical support. When to update – A reporting trader required to complete a feed to the Commission at TechSupport(bridgev for further technical support. When to update – A reporting trader required to complete a Segned to otherwise adupted bioformation by eliber visiting the CFTC's web-based form 40 portal to review, verify, and/or update their information or by submitting updated information via FTP. Signature – Exc firm 40 submitted to the Commission must be signed or otherwise adupted bioformation by eliber verify and/or update their information are provided the information via FTP. Signature – Exc firm 40 augustication account controling persons who ama volume interbold account, reportable sub-account controling persons who ama volume interbold account, reportable sub-account controling persons who ama volume interbold account, reportable sub-account controling persons who ama volume intereb	FORM 40
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red to the Commission, or (i) as otherwise instructed by the Commission or 11s designee. If electronic submission attempts fail, the reporting trader shall contact the Commission at TechSupport@chC.gov for further technical support. When to update – A reporting trader required to complete a Form 40 will be under a continuing obligation, per direction in the special call, to update and maintain the accuracy of the information in provides. Reporting traders can update this information by either visiting the CFIC's web-based Form 40 portal to review, verify, and/or update their information must be signed or otherwise authenticated by either (1) the reporting trader submitting the form (2) an individual that is duy authorized by the reporting trader to provide the information and representations contained in the form. What to File – All reporting traders must be signed or otherwise authenticated by either (1) the reporting trader submitting the form (2) an individual that is duy authorized by the reporting trader in provide the information and representations contained in the form. What to File – All reporting traders must be signed or otherwise authenticated by either (1) the reporting trader submitting the form (2) an individual that is duy authorized by the reporting trader in provide the information and reporting traders and pusts to 17 CFR § 18.04(9) (us volume threshold account, reporting traders in updated individual traders and pusts to 17 CFR § 18.04(9) (us volume threshold account, reporting trader submitting a Form 40 pursuant to 17 CFR § 18.04(9) (us volume threshold account, reporting trader submitting updated for questions rise is the are filing a Form 40 pursuant to 17 CFR § 18.04(9) (us volume threshold account, reporting traders that are filing a Form 40 pursuant to 17 CFR § 18.04(9) (us out an atrea) persons shof and the acure and the applicable for questions 7 and 8	When to file – A reporting trader must file a Form 40 on call by the Commission or its designee.
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4. Select the draft. Enter the corresponding Retrieval Code and select [Continue]. A Retrieval Code is necessary to gain access to the saved draft. The Retrieval Code was sent via email from CFTC when the Form 40 data was first entered and saved. If you did not receive the email, please check your Junk, Spam or Clutter folders. If you do not see the email in these folders, please contact <u>TechSupport@cftc.gov</u>.

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۲			11/28/2023 12:26:17 PM	1/9/2024 12:26:17 PM	Form 40
0			12/4/2023 2:15:16 PM	1/15/2024 2:15:16 PM	Form 40
0			12/8/2023 8:11:46 AM	1/19/2024 8:11:46 AM	Form 40
0			12/8/2023 8:12:31 AM	1/19/2024 8:12:31 AM	Form 40
0			12/8/2023 8:13:38 AM	1/19/2024 8:13:38 AM	Form 40
0			12/8/2023 8:14:19 AM	1/19/2024 8:14:19 AM	Form 40

5. After selecting [Continue], it will open Form 40 page Section A. The Form 40 form will be populated with the data saved in the selected draft. Select [Continue] to open the next Form 40 page.

Co	mmodity (or commodities) - generally, all goods and articles (except onions and motion picture box office receipts, or any index, measure, values and articles (except onions) and motion picture box office receipts, or any index, measure, values and articles (except onions) and motion picture box office receipts, or any index, measure, values and articles (except onions) and motion picture box office receipts, or any index, measure, values and articles (except onions) and motion picture box office receipts, or any index, measure, values and articles (except onions) and motion picture box office receipts, or any index, measure, values and articles (except onions) and motion picture box office receipts, or any index, measure, values and articles (except onions) and motion picture box office receipts, or any index, measure, values and articles (except onions) and motion picture box office receipts, or any index, measure, values and articles (except onions) and articles (except onions) and articles (except onions) and articles (except onions) articles (excepto
	data related to such receipts), and all services, rights, and interests (except motion picture box office receipts, or any index, measure, value, or da
rei	ated to such receipts) in which contracts for future delivery are presently or in the future dealt in (see 7 USC 1a(9)).
Co	mmodity Index Trading ("CIT") - means:
	An investment strategy that consists of investing in an instrument (e.g., a commodity index fund, exchange-traded fund for commodities, or
	change-traded note for commodities) that enters into one or more derivative contracts to track the performance of a published index that is base the price of one or more commodities, or commodities in combination with other securities; or
b.	An investment strategy that consists of entering into one or more derivative contracts to track the performance of a published index that is based
th	price of one or more commodities, or commodities in combination with other securities.
Co	ntrol - as used in this Form, "control" means to actually direct, by power of attorney or otherwise, the trading of a special account or a consolida
ac	count. A special account or a consolidated account may have more than one controller.
De	rivatives – futures, options, swaps, and swaptions.
Or	nnibus volume threshold account - means any trading account that, on an omnibus basis, carries reportable trading volume on or subject to th
	es of a reporting market that is a board of trade designated as a contract market under § 5 of the Act or a swap execution facility registered under
Sh	of the Act.
	rent - for purposes of Form 40, a person is a parent of a reporting trader if it has a direct or indirect controlling interest in the reporting trader; a
	serson has a controlling interest if such person has the ability to control the reporting trader through the ownership of voting equity, by contract, servise.
Pe	rson – an individual, association, partnership, corporation, trust, or government agency and/or department.
Re	portable sub-account - means any trading sub-account of an omnibus volume threshold account or omnibus reportable sub-account, which su
	count executes reportable trading volume.
Re	portable sub-account controller - means a natural person who by power of attorney or otherwise actually directs the trading of a reportable su
ac	count. A reportable sub-account may have more than one controller.
Re	portable trading volume - means contract trading volume that meets or exceeds the level specified in 17 CFR § 15.04.
Re	porting trader - a person who must file a Form 40, whether pursuant to 17 CFR § 18.04(a), 17 CFR § 18.04(b), or 17 CFR § 20.05.
Su	bsidiary - for purposes of Form 40, a person is a subsidiary of a reporting trader if the reporting trader has a direct or indirect controlling interes
	e person; and a reporting trader has a controlling interest if such reporting trader has the ability to control the person through the ownership of
va	ting equity, by contract, or otherwise.
	lume threshold account – means any trading account that carries reportable trading volume on or subject to the rules of a reporting market the exact of trade designated as a contract market under § 5 of the Act or a swap execution facility registered under § 5h of the Act.
a 1	control of trade designated as a contract market under y 5 of the Act of a swap execution facility registered under y 5 of the Act.
	lume threshold account controller – means a natural person who by power of attorney or otherwise actually directs the trading of a volume reshold account. A volume threshold account may have more than one controller.
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Ŀ	Before proceeding with your submission, please check this box to indicate that you have read the definitions for the above terms as they are used in the Form 40.
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