



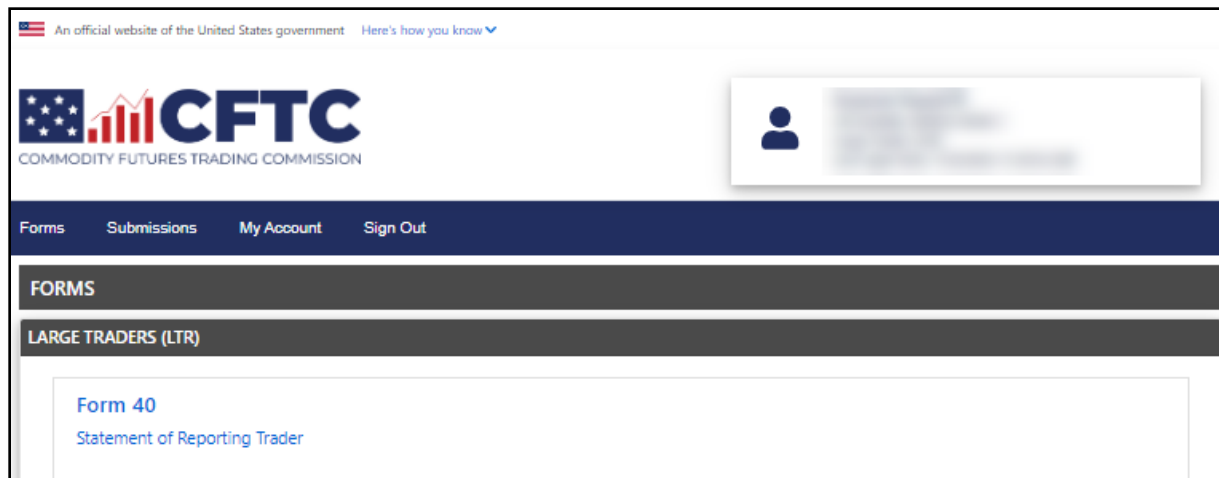
U.S. COMMODITY FUTURES TRADING COMMISSION

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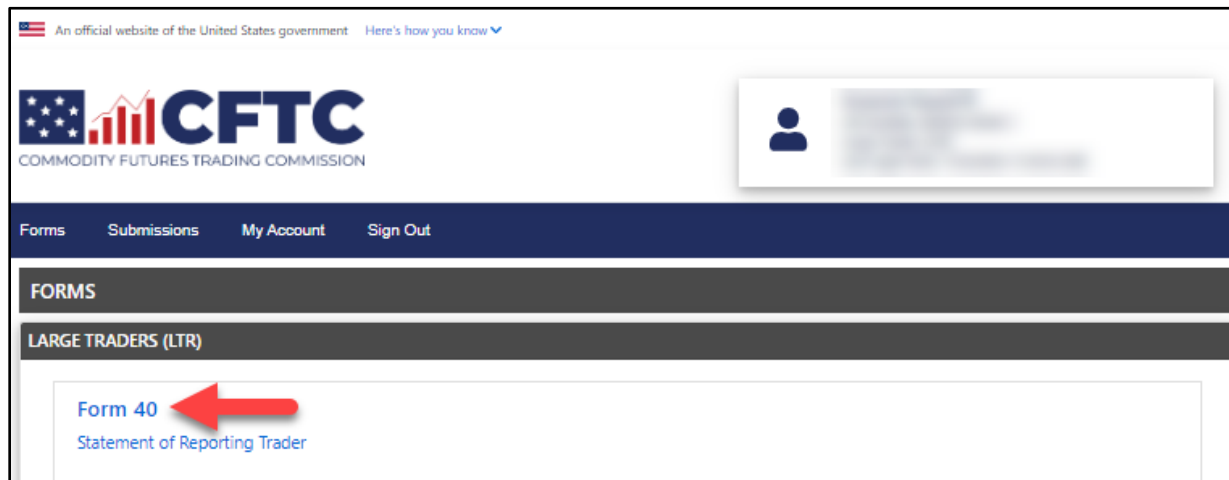
How do I continue a previously saved draft version of Form 40?

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.



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



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”.

FORM 40

INSTRUCTIONS

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(b) requires every volume threshold account controller, person who owns a volume threshold account, reportable sub-account controller, and person who owns a reportable sub-account to file a Form 40 – Statement of Reporting Trader with the Commission. 17 CFR § 20.5 requires every person subject to books or records under 17 CFR § 20.6 to file a 40S filing with the Commission.

When to file – A reporting trader must file a Form 40 on call by the Commission or its designee.

Where to file – The Form 40 should be submitted (a) via the CFTC’s web-based Form 40 submission process at portal.cftc.gov, (b) via a secure FTP data feed to the Commission, or (c) as otherwise instructed by the Commission or its designee. If electronic submission attempts fail, the reporting trader shall contact the Commission at TechSupport@cftc.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 it provides. Reporting traders can update this information by either 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 – Each Form 40 submitted to the Commission must be signed or otherwise authenticated by either (1) the reporting trader submitting the form or (2) an individual that is duly authorized by the reporting trader to provide the information and representations contained in the form.

What to File – All reporting traders that are filing a Form 40 pursuant to either 17 CFR § 18.04(a) (i.e. reportable position reporting traders) or 17 CFR § 20.5 (i.e. swaps books and records reporting traders) must complete all questions. All reporting traders that are filing a Form 40 pursuant to 17 CFR § 18.04(b) (i.e. volume threshold account controllers, persons who own a volume threshold account, reportable sub-account controllers, and persons who own a reportable sub-account reporting trader) must complete all questions unless they are natural persons. Reporting traders that are filing a Form 40 pursuant to 17 CFR § 18.04(b) who are natural persons shall mark not applicable for questions 7 and 8.

The OMB control number for the collection of information pursuant to the OCR Final Rule is 3038-0103. Please be advised that pursuant to 5 CFR § 1320.5(b)(2)(i), you are not required to respond to the collection of information pursuant to the OCR Final Rule unless it displays a currently valid OMB control number.

VERIFY SUBMITTING TRADER

Username

Representing

LTR GLOBAL WORLD WIDE 1 (999999991)

Submitting on behalf of

☒ LTR GLOBAL WORLD WIDE 1 (999999991)

☐ A different entity

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. 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 TechSupport@cftc.gov.

PREVIOUSLY SAVED DRAFTS

How to continue a previously saved draft:

- Select a draft.
- Enter the corresponding Retrieval Code.
- Select the [Continue] button to open the draft.

Select	Document ID	Saved By	Saved Date	Expiration Date	Description
<input checked="" type="radio"/>			11/28/2023 12:26:17 PM	1/9/2024 12:26:17 PM	Form 40
<input type="radio"/>			12/4/2023 2:15:16 PM	1/15/2024 2:15:16 PM	Form 40
<input type="radio"/>			12/8/2023 8:11:46 AM	1/19/2024 8:11:46 AM	Form 40
<input type="radio"/>			12/8/2023 8:12:31 AM	1/19/2024 8:12:31 AM	Form 40
<input type="radio"/>			12/8/2023 8:13:38 AM	1/19/2024 8:13:38 AM	Form 40
<input type="radio"/>			12/8/2023 8:14:19 AM	1/19/2024 8:14:19 AM	Form 40

Retrieval Code 

[Continue](#)

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.

ACKNOWLEDGMENT OF DEFINITIONS

Commodity (or commodities) – generally, all goods and articles (except onions and motion picture box office receipts, or any index, measure, value, or data related to such receipts), and all services, rights, and interests (except motion picture box office receipts, or any index, measure, value, or data related to such receipts) in which contracts for future delivery are presently or in the future dealt in (see 7 USC 1a(9)).

Commodity Index Trading (“CIT”) – means:

a. An investment strategy that consists of investing in an instrument (e.g., a commodity index fund, exchange-traded fund for commodities, or exchange-traded note for commodities) that enters into one or more derivative contracts to track the performance of a published index that is based on 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 on the price of one or more commodities, or commodities in combination with other securities.

Control – as used in this Form, “control” means to actually direct, by power of attorney or otherwise, the trading of a special account or a consolidated account. A special account or a consolidated account may have more than one controller.

Derivatives – futures, options, swaps, and swaptions.

Omnibus volume threshold account – means any trading account that, on an omnibus basis, carries reportable trading volume on or subject to the rules 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 § 5h of the Act.

Parent – 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; and a person has a controlling interest if such person has the ability to control the reporting trader through the ownership of voting equity, by contract, or otherwise.

Person – an individual, association, partnership, corporation, trust, or government agency and/or department.

Reportable sub-account – means any trading sub-account of an omnibus volume threshold account or omnibus reportable sub-account, which sub-account executes reportable trading volume.

Reportable sub-account controller – means a natural person who by power of attorney or otherwise actually directs the trading of a reportable sub-account. A reportable sub-account may have more than one controller.

Reportable trading volume – means contract trading volume that meets or exceeds the level specified in 17 CFR § 15.04.

Reporting 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.

Subsidiary – for purposes of Form 40, a person is a subsidiary of a reporting trader if the reporting trader has a direct or indirect controlling interest in the person; and a reporting trader has a controlling interest if such reporting trader has the ability to control the person through the ownership of voting equity, by contract, or otherwise.

Volume threshold account – means any trading account that carries reportable trading volume on or subject to the rules 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 § 5h of the Act.

Volume threshold account controller – means a natural person who by power of attorney or otherwise actually directs the trading of a volume threshold account. A volume threshold account may have more than one controller.

☒ 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.

CONTINUE

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