



CFTC Portal – PERT Form User Guide

Version 1.0

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Introduction

This User Guide provides the overview of the Position Entry for Reportable Traders (PERT) Form in the CFTC Portal.

System Overview

PERT is used to prepare position data for the Commodity Futures Trading Commission (CFTC). Reportable data can be entered into the system, and submitted to the CFTC. For more information on the Large Trader Reporting Program please click on the link below:

<https://www.cftc.gov/IndustryOversight/MarketSurveillance/LargeTraderReportingProgram/index.htm>

Accessing the PERT form in the Portal

Do I already have access to the new PERT form?

If you currently have access to Form 102, then you have access to the New PERT Form in the CFTC Portal.

Are you a current Portal User?

Yes: Log on to <https://portal.cftc.gov> to access the PERT Form. For instructions on how to log in to the Portal, see the following document.

<https://portal.cftc.gov/Resources/Handlers/Filehandler.ashx?ID=12>

No: Please see the following document on how to register for the CFTC Portal as an FCM.

<https://portal.cftc.gov/Resources/Handlers/Filehandler.ashx?ID=25>

Do you currently submit positions through the legacy PERT Online system?

Yes: Please see Appendix A for instructions on how to transfer data from the legacy PERT Online system to the Portal PERT form. After initial load of data into the Portal PERT form, this process will not have to be repeated.

No: Create position records in the new Portal PERT Form.



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Initial Portal PERT Form Load

Once the user successfully logs into the Portal and chooses the PERT Form for the first time, an empty form with no records will be displayed under the following conditions:

- The User has never logged in before
- The User logged in but has never entered positions using the PERT Form
- The user logged in and entered positions but never submitted or saved the positions

The empty form will be displayed as shown below:

PERT - THE POSITION ENTRY FOR REPORTABLE TRADERS

INSTRUCTIONS

Who Should Report: Each futures commission merchant and foreign broker carrying an account for others (including officers and partners of the carrying firm) and each clearing member clearing their own trades whose open futures or option contracts at the close of business in such account equal or exceed the amount fixed for reporting at the close of business.

What to Report: Once you have determined that a position is reportable for a trader in a particular commodity on a contract market, report ALL futures and ALL option positions for that trader that pertain to the commodity, regardless of size. In addition, for the same commodity, report all delivery notices issued or stopped on behalf of the trader and all exchanges of futures for physicals transacted by the trader.

When to Report: Daily after the close of the market each business day and not later than 9:00 a.m. on the following business day.

- To submit positions, click the Submit Positions button.
- To save draft positions, click the Save Draft button. The user's previously saved draft will be deleted after a successful position submission by clicking Submit Positions button.
- To download CFTC format positions, click the CFTC Format Positions button.

REPORTABLE POSITIONS

Firm Code:

Upload CFTC Format file:

Set Report Date:

Fields marked with a red exclamation (!) are required.

FUTURES, NOTICES AND XFCS

Row #	Report Date	Account Number	Exchange Code	Commodity Code	Exp Year	Exp Month	Exp Day	Long	Short	Notice Issued	Notice Stopped	XFCB Bought	XFCB Sold	Report Type	Actions
New	<input type="text" value="MM/DD/YYYY"/>				YYYY	MM	DD							A	<input type="button" value="Insert"/>

OPTIONS - FLEX OPTIONS

Row #	Report Date	Account Number	Exchange Code	Commodity Code	Put Call	Strike Price	Exp Year	Exp Month	Exp Day	Exp Style	Long	Short	Report Type	File Commodity Code	File Exp Year	File Exp Month	File Exp Day	Actions
New	<input type="text" value="MM/DD/YYYY"/>				P		YYYY	MM	DD				A		YYYY	MM	DD	<input type="button" value="Insert"/>



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Using the Portal PERT Form

Firm Code, Upload, and Report Date

Firm Code: A pre-populated field which cannot be edited. This is the firm code that is associated with the user's Portal login account. A unique Portal login account is required to submit positions for each firm code.

Upload CFTC Format File: Use this option to load a CFTC 80-character formatted file. After choosing an appropriately formatted file to upload, the data will be loaded onto the form.

Set Report Date: Use this feature to set all dates for positions on the form.

Record Entry

The fields marked with a red exclamation mark are required. The Record Type is a required field that is defaulted to "A". The possible values are: (A) add record, (C) change record, and (D) delete record. When choosing (C) change record, **ALL** fields on the row must be completed, not only the updated fields, for the record to update completely.

Once the PERT form is submitted, the corresponding positions are added or overwritten when choosing Record Types (A) and (C). A Future, Notice, and XFCS position is deemed a unique record and will be overwritten by the following fields: Firm Code (associated with user's account), Report Date, Account Number, Exchange Code, Commodity Code, Exp (Expiration) Year, Exp (Expiration) Month, and Exp (Expiration) Day. An Option and Flex Option position is considered unique by the following fields: Firm Code (associated with user's account), Report Date, Account Number, Exchange Code, Commodity Code, Put/Call, Strike Price, Exp (Expiration) Year, Exp (Expiration) Month, and Exp (Expiration) Day.

Futures, Notices and XFCS

Use this section of the form to submit Futures, Notices, and XFCS positions.

The required fields include: Report Date, Account Number, Exchange Code, Commodity Code, Exp (Expiration) Year, Exp (Expiration) Month, Exp (Expiration) Day, Long, and Short.

For further details about all of the fields please see the link below.

<https://www.cftc.gov/IndustryOversight/MarketSurveillance/LargeTraderReportingProgram/ltrformat.html>



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Row #	Report Date	Account Number	Exchange Code	Commodity Code	Exp Year	Exp Month	Exp Day	Long	Short	NoInoes Issued	NoInoes Stopped	XFCB Bought	XFCB Sold	Record Type	Actions
New:	MM/DD/YYYY				YYYY	MM	DD							A	Insert

Once the data has been entered into the fields, choose the “Insert” button.

The system verifies the record. If a record has errors, then all errors must be corrected before the user can insert or submit the position record.

Once the record has been entered, and the "Insert" button has been selected, the data is displayed on the screen.

This screenshot shows how a Futures, Notices and XFCB record will appear after successful insertion.

Row #	Report Date	Account Number	Exchange Code	Commodity Code	Exp Year	Exp Month	Exp Day	Long	Short	NoInoes Issued	NoInoes Stopped	XFCB Bought	XFCB Sold	Record Type	Actions
1	2/4/2020	1235867	CBT	FP	2022	08		258365	48653	1653	25448	2563	55887	A	Delete
New:	2/4/2020	1235867	CBT	FP	YYYY	MM	DD							A	Insert

Options and Flex Options

Use this section of the form to submit Options and Flex Options positions.

The required fields include: Report Date, Account Number, Exchange Code, Commodity Code, Put Call, Strike Price, Exp (Expiration) Year, Exp (Expiration) Month, Exp (Expiration) Day, Long, and Short.

For further details about all of the fields please see the link below.

<https://www.cftc.gov/IndustryOversight/MarketSurveillance/LargeTraderReportingProgram/ltrformat.html>

Row #	Report Date	Account Number	Exchange Code	Commodity Code	Put Call	Strike Price	Exp Year	Exp Month	Exp Day	Exer Style	Long	Short	Record Type	Flex Commodity Code	Flex Exp Year	Flex Exp Month	Flex Exp Day	Actions
New:	MM/DD/YYYY				P		YYYY	MM	DD				A		YYYY	MM	DD	Insert

Once the data has been entered into the fields, choose the “Insert” button.



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The system verifies the record. If a record has errors, then all errors must be corrected before the user can insert or submit the position record.

Once the record has been entered, and the "Insert" button is chosen, the data is displayed on the screen.

This screenshot shows how an Options / Flex Options record will appear after successful insertion.

OPTIONS - FLEX OPTIONS																		
Row #	Report Date	Account Number	Exchange Code	Commodity Code	Put Call	Strike Price	Exp Year	Exp Month	Exp Day	Exer Style	Long	Short	Record Type	Flex Commodity Code	Flex Exp Year	Flex Exp Month	Flex Exp Day	Actions
216	1/8/2020	fdfsdfgd	IFED	OPS	P	66	2020	01		A	2343	43234	A	PMI	2021	11	12	Delete
New:	1/8/2020	fdfsdfgd	IFED	OPS	P		YYYY	MM	DL				A		YYYY	MM	DD	Insert

Actions

Once the user has completed the PERT Form they have the option to:

Submit	The Submit button should be used once all of the position records are inserted or updated and ready for submission.
Save	The Save button will save the current data on the form. The data will be persisted upon logging back into the Portal.
Clear	The Clear button will delete all of the position records. The user will be asked for confirmation. Upon responding "Yes" to the confirmation, the entire form will be cleared.
Download	The Download button allows the user to download the entries in the PERT Form. The file can then be used later to upload to the form.



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The form actions are shown below.

PERT - THE POSITION ENTRY FOR REPORTABLE TRADERS

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What to Report: Once you have determined that a position is reportable for a trader in a particular commodity on a contract market, report ALL futures and ALL option positions for that trader that pertain to the commodity, regardless of size. In addition, for the same commodity, report all delivery notices issued or stopped on behalf of the trader and all exchanges of futures for physicals transacted by the trader.

When to Report: Daily after the close of the market each business day and not later than 9:00 a.m. on the following business day.

- To submit positions, click the Submit Positions button.
- To save draft positions, click the Save Draft button. The user's previously saved draft will be deleted after a successful position submission by clicking Submit Positions button.
- To download CFTC format positions, click the CFTC Format Positions button.

REPORTABLE POSITIONS

Firm Code:

Upload CFTC Format file:

Set Report Date:

Fields marked with a red exclamation mark (!) are required.

FUTURES, NOTICES AND XFCS

Row	Report Date	Account Number	Exchange Code	Commodity Code	Exp Year	Exp Month	Exp Day	Long	Short	NoBecs Issued	NoBecs Stopped	XFCS Bought	XFCS Sold	Report Type	Actions
1	2/5/2020	1562	CBT	FV2	2019	01		155	6555					A	Delete
New:	2/5/2020	1562	CBT	FV2	YYYY	MM	DD							A	Insert

OPTIONS - FLEX OPTIONS

Row	Report Date	Account Number	Exchange Code	Commodity Code	Put Call	Strike Price	Exp Year	Exp Month	Exp Day	Exp Style	Long	Short	Report Type	Flex Commodity Code	Flex Exp Year	Flex Exp Month	Flex Exp Day	Actions
2	2/4/2020	455165	CME	E1C	P	25	2015	11		/	52563	557898	A					Delete
New:	2/4/2020	455165	CME	E1C	P		YYYY	MM	DD				A		YYYY	MM	DD	Insert



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Returning Portal User Logins

Once the user successfully logs into the Portal and chooses the PERT Form, the form will display the last positions submitted or saved.

The pre-populated form will be displayed as shown below.

PERT - THE POSITION ENTRY FOR REPORTABLE TRADERS

INSTRUCTIONS

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- To download CFTC format positions, click the CFTC Format Positions button.

REPORTABLE POSITIONS

Firm Code

Upload CFTC Format file

Set Report Date

Fields marked with a red exclamation (!) are required.

FUTURES, NOTICES AND XFCS

Row #	Report Date	Account Number	Exchange Code	Commodity Code	Exp Year	Exp Month	Exp Day	Long	Short	Notices Issued	Notices Stopped	XFCS Bought	XFCS Sold	Report Type	Actions
1	12/5/2019	995ROSCO	NODX	AAA	2019	11		0	0					A	Delete
2	12/5/2019	995ROSCO	NODX	AAB	2019	11		0	0					A	Delete
3	12/5/2019	995ROSCO	NODX	AAA	2019	12		20	0					A	Delete
4	12/5/2019	995ROSCO	NODX	AAB	2019	12		0	55					A	Delete
5	12/5/2019	995ROSCO	NODX	AAA	2020	1		0	30					A	Delete
6	12/5/2019	995ROSCO	NODX	AAB	2020	1		20	0					A	Delete
7	12/5/2019	995ROSCO	NODX	AAA	2020	2		0	30					A	Delete
8	12/5/2019	995ROSCO	NODX	AAB	2020	2		20	0					A	Delete
9	12/5/2019	995ROSCO	NODX	AAA	2020	3		20	0					A	Delete



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Successful Submission

Once the user submits the PERT Form, the Submission Confirmation page allows the user to download the Positions Data File and Confirmation PDF. The user also receives an email confirming their submission.

Please note that once the PERT form is submitted, the corresponding positions are overwritten when choosing Record Types (A) and (C). A Future, Notice, and XFCS position is deemed a unique record and will be overwritten by the following fields: Firm Code, Report Date, Account Number, Exchange Code, Commodity Code, Exp (Expiration) Year, Exp (Expiration) Month, and Exp (Expiration) Day. An Option and Flex Option position is considered unique by the following fields: Firm Code, Report Date, Account Number, Exchange Code, Commodity Code, Put/Call, Strike Price, Exp (Expiration) Year, Exp (Expiration) Month, and Exp (Expiration) Day.

The screenshot shows a web interface for 'PERT - THE POSITION ENTRY FOR REPORTABLE TRADERS'. The main heading is 'SUBMISSION CONFIRMATION'. Below this, there are two blue buttons: 'Download Positions File' and 'Download Confirmation PDF'. The submission details are as follows:

- SUBMISSION:** PERT - The Position Entry for Reportable Traders
- CONFIRMATION NUMBER:** 2002-0411-0020-35
- SUBMISSION DATE AND TIME:** 2/4/2020 11:00:20 AM Eastern Standard Time
- ORGANIZATION TYPE:** Futures Commission Merchant (FCM)
- ORGANIZATION NAME:** FCM GLOBAL WORLDWIDE (FKE)
- SUBMITTED BY:** Jane Doe
- EMAIL ADDRESS:** [Redacted]



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Appendix A: Transfer Data From Legacy PERT Online

The following instructions show how position data can be transferred from PERT Online to the Portal PERT Form.

1. Log into PERT Online.

PERT Online: Position Entry for Reportable Traders

Warning: This is a United States Commodity Futures Trading Commission (CFTC) computer system, which may be accessed and used. Unauthorized access or use of this computer system may subject violators to criminal, civil, and/or administrative action. All information copied, and disclosed by and to authorized personnel for official purposes, including criminal investigations. Access or use of this computer constitutes consent to these terms.

The Position Entry for Reportable Traders (PERT Online) application can be used to prepare traders' futures and option position data Commission (CFTC). In this application, you can enter reportable data and submit the data to the Cftc.

First time users must obtain a User ID and Password to gain access to this page.

REGISTRATION AND LOG IN INFORMATION

Registered Users

Login to PERT Online here.

We recommend that you routinely change your password. The CFTC reserves the right to reset any Passwords that have been lost or stolen or have not been used for more than 120 days. The CFTC reserves the right to modify, suspend, deactivate, terminate or delete any account that violates any part of CFTC Data Submission Account Creation & User Registration Agreement.

*User ID:

*Password:

*** Required field**

[Reset Password](#)
[Recover User ID](#)

New Users Registration

New Users Register Here

For information, contact:
Margaret Sweet
Supervisor, Data Operations
Chicago Regional Office
msweet@cftc.gov
312-596-6699

For technical support, contact:
PERTSupport@cftc.gov

Support hours: 8am – 5pm (Eastern Time)

2. Once logged into PERT Online select the “CFTC Format Position” button to download the CFTC Format Position File.

PERT Online: Enter Reportable Positions

You are logged in on behalf of cftc. Your auto-saved draft is displayed.
Positions you enter here will be submitted to the CFTC when you click the Submit Positions button.

Set report date on current page:

Set number of position records per page:

* Required

#	Firm Code*	Report Date*	Account Number*	Exch Code*	Commodity Code*	Put Call	Strike Price	Exp Year*	Exp Mon*	Exp Day*	Exer. Long*	Short*	Rec. Type	Action	Add'l
1	FKE	6/20/	34	ICUS	43	P	0	20	1		A	0	1	D	Delete Show
2	FKE	6/20/	2	E	AMW	P	3	20	1		A	3	30	A	Delete Show
3	FKE	6/20/	20	IFSG	SDX	P	0	20	1		E	0	0	A	Delete Show
4	FKE	6/23/	ee	CBT	06	P	0	20	1		A	3	3	A	Delete Show
5	FKE	6/23/	ee12	CBT	14	C	0	20	1		E	11	1	A	Delete Show
6	FKE	6/23/	1	CME	1BP	P	2	20	1		A	5	50	A	Delete Show
7	FKE	6/23/	wert	C	A1D	P	121	20	2		A	2	20	A	Delete Show



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3. When instructed save the position file to the user's computer.
4. Once the position file is saved, return to the Portal PERT Form and choose the Upload button to transfer the position data.