

|                |            |
|----------------|------------|
| Account Number |            |
| Office Code    | Sales Code |

## CONTROLLER IDENTIFICATION SUPPLEMENT

THE FOLLOWING INFORMATION WILL BE NECESSARY TO FULFILL POTENTIAL CFTC REPORTING REQUIREMENTS.  
(FORM 102 AND LARGE TRADER)

*Please complete the Control information below. It is imperative that you provide this information promptly to ensure that your account(s) remains in compliance with the CFTC.*

Account Name: \_\_\_\_\_

~ Attach additional sheets if necessary ~

**Account Controller(s):** Report all persons who control the trading of the account

#1

Name: \_\_\_\_\_

Address, City, State/Country, Zip/Postal Code: \_\_\_\_\_

Name of Employer: \_\_\_\_\_

Employer NFA ID (if any): \_\_\_\_\_ Employer Legal Entity Identifier - LEI (if any): \_\_\_\_\_

Job Title: \_\_\_\_\_ Relationship to Owner: \_\_\_\_\_

Contact Phone: \_\_\_\_\_ Controller NFA ID (if any): \_\_\_\_\_

*\*Please provide a direct number, without any telephone extension.*

*\*\*Non-US respondents should also provide a valid international area code.*

Contact Email Address: \_\_\_\_\_

#2

Name: \_\_\_\_\_

Address, City, State/Country, Zip/Postal Code: \_\_\_\_\_

Name of Employer: \_\_\_\_\_

Employer NFA ID (if any): \_\_\_\_\_ Employer Legal Entity Identifier - LEI (if any): \_\_\_\_\_

Job Title: \_\_\_\_\_ Relationship to Owner: \_\_\_\_\_

Contact Phone: \_\_\_\_\_ Controller NFA ID (if any): \_\_\_\_\_

*\*Please provide a direct number, without any telephone extension.*

*\*\*Non-US respondents should also provide a valid international area code.*

Contact Email Address: \_\_\_\_\_

~ Attach additional sheets if necessary ~

Date: \_\_\_\_\_

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

In November 2013, the U.S. Commodity Futures Trading Commission ("CFTC") finalized new rules for Ownership and Control Reporting ("OCR") which significantly expanded the reporting requirements for US FCMs and their clients under CFTC Regulation Part 17 CFR 17.01(a), 17.01(b) and 20.5. In accordance, ADM Investor Services, Inc. (ADMIS) is required to obtain the above information with regard to the ownership and control of clearing accounts at ADMIS. This rule officially becomes effective in August 2014.