



CFTC Form 40 Portal Submission Overview

This document provides an overview of the steps needed to register for a Large Trader (LTR) CFTC Portal account. Contact TechSupport@cftc.gov with questions.

A CFTC code number will be required in order to complete a new account request. If the organization has previously submitted a Form 40 to CFTC, the organization was assigned a 9-digit code number. If the code number cannot be located, please contact OCR Technical Support at OCRTechSupport@CFTC.gov and provide the Special Account ID or the Consolidated Account ID as well as the Firm that reported that code to the Commission. Alternatively, when the organization was prompted to submit Form 40, an email was sent that included details of the Form 40 request along with instructions for registering for an LTR account as well as the 9-digit code.

Register for a Large Trader (LTR) CFTC Portal Account

Process

1. Select the CFTC Portal login URL: <https://portal.cftc.gov>. You will be taken to the Portal. Read the CFTC Portal Terms of Use Agreement. To access the Portal, it is necessary to accept the Terms of Use Agreement by selecting [Accept].

U.S. COMMODITY FUTURES TRADING COMMISSION
Ensuring the Integrity of the Futures & Swaps Markets

CFTC PORTAL

Warning

This computer system is a United States Government information system operated by the Commodity Futures Trading Commission ("CFTC"). This system is to be used only for authorized purposes by individuals who have been granted access rights by the CFTC. Misuse of this computer system is a violation of Federal law. See Computer Fraud and Abuse Act of 1986, Pub. L. 99-474, 100 Stat. 1213 (1986). Unauthorized access or use of this information system is prohibited and may be subject to criminal, civil and/or administrative action. The Government routinely intercepts and monitors communications and information on this system, for example, to address security vulnerabilities and other risks. All users of this system, whether authorized or unauthorized, are subject to monitoring by the CFTC and other authorized Federal Government officials. Anyone using this system expressly consents to such monitoring. All of the information transmitted or stored on this system may be intercepted, recorded, read, copied, searched, seized and disclosed by and to authorized personnel for official purposes consistent with CFTC policies. Users have no reasonable expectation of privacy when using this system or in any communication or data which is transmitted or stored on this system. Personal information submitted through this system is collected, stored and otherwise processed as stated in the Portal Privacy Policy.

Any information an individual submits to the CFTC must be true and accurate. The making of a false statement to the CFTC may be a basis for administrative action under 7 U.S.C. § 9 and may be punishable by fine or imprisonment, or both, under 7 U.S.C. § 13 or 18 U.S.C. § 1001.

By clicking "Accept", you acknowledge that you have read, understand and consent to the above, to the [Terms of Use Agreement](#) and to the processing of your personal information as stated in the [Privacy Policy](#).

Accept

2. On the CFTC Portal Login page, select the "Request a CFTC Portal account" link.

Login

Fields marked with a red exclamation (!) are required

Username

Username is not an email address.

Password

Login

Forgot your [username](#) or [password](#)?

Don't have an account? [Request a CFTC Portal account](#)

FAQs

[How do I login to the CFTC Portal?](#)

[How do I retrieve my username?](#)

[How do I reset my password?](#)

[How do I register for the CFTC Portal?](#)

Account is locked out? Please wait 30 minutes to login again or choose [Forgot Password?](#)

If you are experiencing technical difficulties or have a technical question, visit the [Frequently Asked Questions](#) page.

If your question is not answered on the Frequently Asked Questions page, please contact us at TechSupport@cftc.gov.

- Complete the form using your first name, last name, phone number, and email address. Please use an individual/non-shared email address. Shared email addresses can cause a registration request to be denied. The Portal does not support the phone extensions. Please register using a phone number that does not require the use of an extension.

- To register as a Large Trader (LTR), select "LTR (Large Traders)" from the Select Organization Type dropdown menu.

New User Request Form

Fields marked with a red exclamation (!) are required

First Name

Last Name

+1

Phone Number

Phone Number must contain only numbers.

Business Email Address

Confirm Email Address

LTR (Large Traders)

CFTC Code Number

Select Submission Type

GskYw2

Verification Code

New Code
Audio Code

Register

Tips

Do you already have an account? [Login](#)

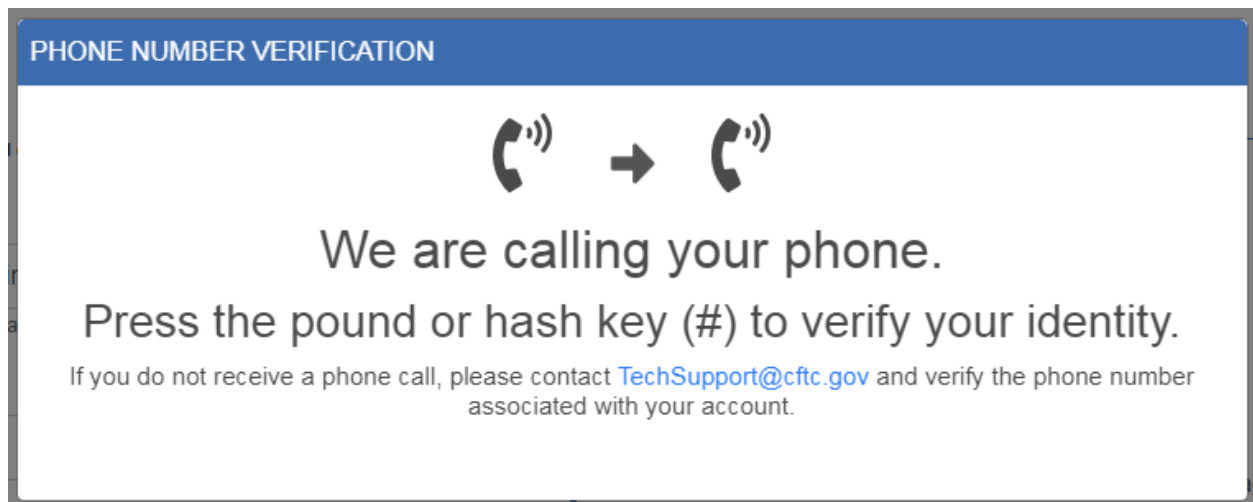
[How do I register for the CFTC Portal?](#)

Please allow 2 business days, excluding weekends and holidays, for new user account requests to be reviewed.

CFTC does not permit the sharing of Portal accounts. Each user must have an individual account using a full name and a non-shared company email address. Distribution lists and group email addresses will not be approved.

For help, refer to [Frequently Asked Questions](#) or contact TechSupport@cftc.gov

5. Enter the CFTC Code Number.
6. Select the Submission Type.
7. Enter the Verification Code.
8. Once the form has been completed, select [Register].
9. The Portal will call the phone number indicated on the form in order to verify the new account request. Answer the phone and press the pound or hash key (#) to verify the call. Be sure to press the pound or hash key (#) firmly and press multiple times.



10. A verification email will be sent to the registered email address. Select the URL in the email within eight hours of receipt of the message. If the link has expired, the process must be repeated. The email will look similar to this:

CFTC Portal Account Verification

☐ NOREPLY@

Sent: Wed 8/8/2018 1:20 PM

To:

You have requested a new [redacted] account for [redacted] in the CFTC Portal.

In order to process the request, please verify your email address within 8 hours by clicking on the link below:

[https://portal.tst.cftcext.gov/Account/Confirmation.aspx?id=\[redacted\]](https://portal.tst.cftcext.gov/Account/Confirmation.aspx?id=[redacted])

If clicking the link doesn't work, you may try to copy and paste the link into the address bar of a browser.

After your email address has been verified, please allow 2 business days for the new account request to be reviewed. Upon approval an email with further instructions will be sent.

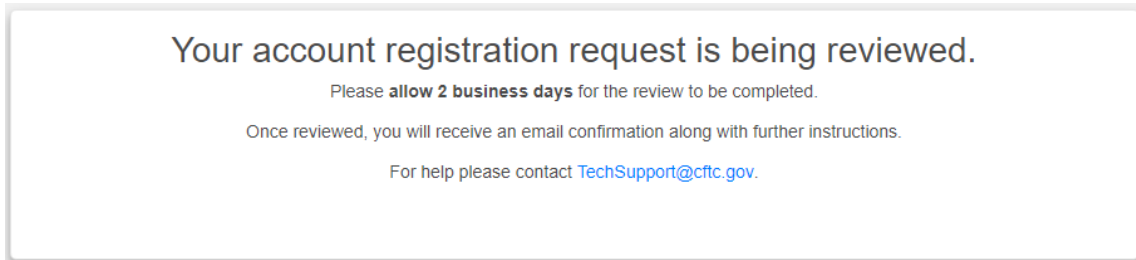
If you do not recognize this activity, or if you have questions regarding this correspondence, contact TechSupport@cftc.gov.

This message is being sent to [redacted] in accordance with the Commodity Futures Trading Commission Portal Terms of Use Agreement. You cannot opt out of receiving these email messages as they provide important information about your CFTC Portal account. Links to the Terms of Use Agreement and the Portal Privacy Policy may be found at <https://portal.cftc.gov/>.

Commodity Futures Trading Commission
Three Lafayette Centre
1155 21st Street, NW
Washington, DC 20581


After completing the form, if you don't receive an email, please check your Junk or Spam folders. If you do not see the message in the Junk or Spam folders, please contact your network administrator and ensure that your firm is not blocking noreply@portalmail.cftc.gov.

11. The browser will display a message that your registration has been successfully completed.



12. At this point in the process, it may be necessary to wait for up to two business days for account approval by the CFTC business team.
13. If the account request is approved, an email similar to the one below with the assigned username and instructions for setting a password will be sent. If you don't receive an email, please check your Junk or Spam folders. If you do not see the message in the Junk or Spam folders, please contact your network administrator and ensure that your firm is not blocking noreply@portalmail.cftc.gov.

A CFTC Portal Account has been created on your behalf

 NOREPLY@
Sent: Wed 8/8/2018 1:25 PM
To:

A new account has been created for you on behalf of .

Username:

Click the link below to reset your password. If the link does not work, copy and paste the address into a browser.

<https://portal.tst.cftcext.gov/Account/RequestPassword.aspx>

Note: CFTC will never request password information via phone or email, as that information is private and only known by you.

CFTC Portal Accounts and Passwords: Your account will become disabled after 13 months of inactivity. Passwords must be changed every 3 months.

If you do not recognize this activity, or if you have questions regarding this correspondence, contact TechSupport@cftc.gov.

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Save a Copy of XML After Successful Submission

After successfully submitting a Form 40 through the Portal, it is recommended that you save a copy of the XML generated from your form to your local PC. Previously submitted forms are not stored on the Portal. In the event an updated Form 40 needs to be submitted, the saved XML can be used to upload into the form to make any revisions and resubmit.

Once you submit your Form 40, you will be redirected to a confirmation page that includes the details of your submission. On this page, you can click the “Download XML Data File” button. Once clicked, you will be prompted to save the XML file from this submission to your local machine. This XML file can be used for your future submissions to the commission and for submission to the exchanges.

FORM 40

SUBMISSION CONFIRMATION

The following submission was received and is being processed by the Commodity Futures Trading Commission.
Please print this Confirmation Page for your records.

Download the XML Data file for creating or updating submissions.

 **Download XML Data File**  **Download Confirmation PDF**

SUBMISSION
Form 40

CONFIRMATION NUMBER:
[REDACTED]

SUBMISSION DATE AND TIME
9/17/2018 10:00:00 AM Eastern Standard Time

ORGANIZATION TYPE
[REDACTED]

ORGANIZATION NAME
[REDACTED]

SUBMITTED BY
[REDACTED]

EMAIL ADDRESS
[REDACTED]

You'll receive an automated confirmation email from the CFTC shortly.
In order to save a local XML copy of Form 40 data, please click the Download XML button. Saved copies of your 40 data can be loaded to the 40 Portal Form.

Upload a Previous Form 40 Submission

If you need to modify a previous Form 40 submission, you can do so by uploading the XML saved from the Form 40 confirmation page. To do so, you should navigate to the Form 40 page on the CFTC Portal and click on the “Upload a previously file Form 40 XML” button.

Start a new Form 40.	<input type="button" value="Start"/>
Upload a previously filed Form 40 XML.	<input type="button" value="Upload"/>
Continue a previously saved draft.	<input type="button" value="Continue"/>

Once you have clicked the upload button, a new section will appear on the page titled “Upload Form 40 XML”. Please click the “Select” button to load a file navigation window where you can select the XML file that was saved on your local machine.

Continue a previously saved draft.

UPLOAD FORM 40 XML

Once you have located and selected your XML file from your local machine, you can click the “OK” button to populate the form with your previously saved data.

Additional Form 40 Questions?

If you have any additional questions regarding the due date for your submission or your status as a Large Trader please feel free to reach out to the contact information provided in your Form 40 email.