## PAPERWORK REDUCTION ACT SUBMISSION

Please read the instructions before completing this fo		
this form, contact your agency's Paperwork Clearance Officer. Send two copies of this form, the		
collection instrument to be reviewed, the Supporting		
Office of Information and Regulatory Affairs, Office of		
10102, 725 17 <sup>th</sup> Street, NW, Washington, DC 20503	Management and Budget, Booket Elbrary, 1365m	
Agency/Subagency originating request:	2. OMB control number:	
COMMODITY FUTURES TRADING COMMISSION	a. 3038-0059 b. None	
Type of information collection (check one)	Type of review requested (check one)	
a. New collection—revision of request for new collection	a. X Regular	
<ul> <li>b. X Revision of a currently approved collection</li> </ul>	b. □ Emergency approval requested by:	
c.   Extension of a currently approved collection	c. □ Delegated	
d. Reinstatement, without change, of a previously approved	5. Small entities: Will this information collection have a	
collection for which approval has expired	significant economic impact on a substantial number of	
e. □ Reinstatement, with change, of a previously approved collection for which approval has expired	small entities? ☐ Yes X No	
f.   Existing collection in use without an OMB control number	Requested expiration date	
1.   Existing confection in use without an Olyip control number	a. X Three years from approval date	
For b-f, note item A2 of Supporting Statement Instructions	b. 🗆 Other	
7. Title		
Part 41, Relating to Security Futures Products		
8. Agency form numbers(s) (if applicable)		
9. Keywords		
Security Futures Products		
10. Abstract: Section 4d(c) of the Commodity Exchange Act (CEA	A), 7 U.S.C. § 6d(c), requires the CFTC to consult with the SEC	
and issue such rules, regulations, or orders as are necessary to av	oid duplicative or conflicting regulations applicable to firms that	
are fully registered with the SEC as brokers or dealers (broker-dea		
involving provisions of the CEA that pertain to the treatment of cus	tomer funds.	
11. Affected public (Mark primary with "P" and all others that	12. Obligation to respond (Mark primary with "P" and all others	
apply with "X")	that apply with "X")	
a Individuals or households d Farms	a. Voluntary	
b. P Business or other for-profit e. Federal Government	b.   Required to obtain or retain benefits	
c Not-for-profit institutions f State, Local, or Tribal	c. X□ Mandatory	
Government  13. Annual reporting and recordkeeping hour burden:	14. Annual reporting and recordkeeping cost burden (in	
a. Number of respondents 144		
b. Total annual responses 2,739		
2,700 E,700	thousands of dollars)	
Percentage of these responses		
Percentage of these responses     collected electronically	thousands of dollars)  a. Total annualized capital/start-up costs b. Total annual costs (O&M)	
Percentage of these responses     collected electronically     Total annual hours     1,620.48	thousands of dollars)  a. Total annualized capital/start-up costs b. Total annual costs (O&M) c. Total annualized cost requested	
Percentage of these responses     collected electronically     Total annual hours	thousands of dollars)  a. Total annualized capital/start-up costs b. Total annual costs (O&M) c. Total annualized cost requested d. Current OMB inventory	
1. Percentage of these responses collected electronically c. Total annual hours 1,620.48 d. Current OMB inventory 3,475 e. Difference 1,854.52	thousands of dollars)  a. Total annualized capital/start-up costs b. Total annual costs (O&M) c. Total annualized cost requested d. Current OMB inventory e. Difference	
Percentage of these responses collected electronically     Total annual hours 1,620.48     Current OMB inventory 3,475     Difference 1,854.52     Explanation of difference	thousands of dollars)  a. Total annualized capital/start-up costs b. Total annual costs (O&M) c. Total annualized cost requested d. Current OMB inventory e. Difference f. Explanation of difference	
1. Percentage of these responses collected electronically c. Total annual hours 1,620.48 d. Current OMB inventory 3,475 e. Difference 1,854.52 f. Explanation of difference 1. Program change -1,854.52	thousands of dollars)  a. Total annualized capital/start-up costs b. Total annual costs (O&M) c. Total annualized cost requested d. Current OMB inventory e. Difference f. Explanation of difference 1. Program change	
Percentage of these responses collected electronically     Total annual hours 1,620.48     Current OMB inventory 3,475     Difference 1,854.52     Explanation of difference	thousands of dollars)  a. Total annualized capital/start-up costs b. Total annual costs (O&M) c. Total annualized cost requested d. Current OMB inventory e. Difference f. Explanation of difference 1. Program change 2. Adjustment	
Percentage of these responses collected electronically     C. Total annual hours 1,620.48     d. Current OMB inventory 3,475     e. Difference 1,854.52     f. Explanation of difference         1. Program change -1,854.52         2. Adjustment  15. Purpose of information collection (Mark primary with a "P" and all others that apply with "X")	thousands of dollars)  a. Total annualized capital/start-up costs b. Total annual costs (O&M) c. Total annualized cost requested d. Current OMB inventory e. Difference f. Explanation of difference 1. Program change	
1. Percentage of these responses collected electronically  2. Total annual hours 3,475 4. Current OMB inventory 5. Difference 1. Program change 2. Adjustment  15. Purpose of information collection (Mark primary with a "P" and all others that apply with "X")  a Application for benefits  1. Program planning or	thousands of dollars)  a. Total annualized capital/start-up costs b. Total annualized costs (O&M) c. Total annualized cost requested d. Current OMB inventory e. Difference f. Explanation of difference 1. Program change 2. Adjustment  16. Frequency of recordkeeping or reporting (check all that	
1. Percentage of these responses collected electronically     c. Total annual hours 1,620.48     d. Current OMB inventory 3,475     e. Difference 1,854.52     f. Explanation of difference         1. Program change -1,854.52         2. Adjustment  15. Purpose of information collection (Mark primary with a "P" and all others that apply with "X")     a Application for benefits e Program planning or b Program evaluation management	thousands of dollars)  a. Total annualized capital/start-up costs b. Total annual costs (O&M) c. Total annualized cost requested d. Current OMB inventory e. Difference f. Explanation of difference 1. Program change 2. Adjustment  16. Frequency of recordkeeping or reporting (check all that apply)	
1. Percentage of these responses collected electronically  2. Total annual hours 3,475 4. Current OMB inventory 5. Difference 1. Program change 2. Adjustment  15. Purpose of information collection (Mark primary with a "P" and all others that apply with "X")  a Application for benefits b Program evaluation c General purpose statistics f Research	thousands of dollars)  a. Total annualized capital/start-up costs b. Total annualized cost (O&M) c. Total annualized cost requested d. Current OMB inventory e. Difference f. Explanation of difference 1. Program change 2. Adjustment  16. Frequency of recordkeeping or reporting (check all that apply) a. □ Recordkeeping b. □ Third-party disclosure c. □ Reporting 1. X On occasion 2. □ Weekly 3. □ Monthly	
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1. Percentage of these responses collected electronically  2. Total annual hours 1,620.48  3.475  4. Current OMB inventory 3,475  5. Difference 1,854.52  7. Explanation of difference 1. Program change -1,854.52  7. Adjustment -1,854.52  8. Adjustment -1,854.52  9. Adjustment -1,854.52  10. Application for benefits e. Program planning or management c. General purpose statistics f. Research d. Audit -1,854.52  9. Regulatory or compliance -1,854.52  10. Program evaluation management c. General purpose statistics f. Research d. Audit -1,854.52  11. Statistical methods: Does this information collection -1	a. Total annualized capital/start-up costs b. Total annualized cost (O&M) c. Total annualized cost requested d. Current OMB inventory e. Difference f. Explanation of difference 1. Program change 2. Adjustment  16. Frequency of recordkeeping or reporting (check all that apply) a. □ Recordkeeping b. □ Third-party disclosure c. □ Reporting 1. X On occasion 2. □ Weekly 3. □ Monthly 4. □ Quarterly 5. □ Semi-annually 6. □ Annually 7. □ Biennially 8. □ Other (describe)  18. Agency contact (person who can best answer questions	
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1. Percentage of these responses collected electronically  c. Total annual hours 1,620.48 d. Current OMB inventory 3,475 e. Difference 1,854.52 f. Explanation of difference 1. Program change -1,854.52 2. Adjustment  15. Purpose of information collection (Mark primary with a "P" and all others that apply with "X") a Application for benefits e Program planning or b Program evaluation management c General purpose statistics f Research d Audit	a. Total annualized capital/start-up costs b. Total annualized cost (O&M) c. Total annualized cost requested d. Current OMB inventory e. Difference f. Explanation of difference 1. Program change 2. Adjustment  16. Frequency of recordkeeping or reporting (check all that apply) a. □ Recordkeeping b. □ Third-party disclosure c. □ Reporting 1. X On occasion 2. □ Weekly 3. □ Monthly 4. □ Quarterly 5. □ Semi-annually 6. □ Annually 7. □ Biennially 8. □ Other (describe)  18. Agency contact (person who can best answer questions	

## 19. Certification for Paperwork Reduction Act Submissions

On behalf of this Federal agency, I certify that the collection of information encompassed by this request complies with 5 CFR 1320.9.

NOTE: The text of 5 CFR 1320.9, and the related provisions of 5 CFR 1320.8(b)(3), appear at the end of the instructions. The certification is to be made with reference to those regulatory provisions as set forth in the instructions.

The following is a summary of the topics, regarding the proposed collection of information, that the certification covers:

- (a) It is necessary for the proper performance of agency functions;
- (b) It avoids unnecessary duplication;
- (c) It reduces burden on small entities;
- (d) It uses plain, coherent, and unambiguous language that is understandable to respondents;
- (e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices:
- (f) It indicates the retention periods for recordkeeping requirements;
- (g) It informs respondents of the information called for under 5 CFR 1320.8(b)(3) about:
  - (i) Why the information is being collected;
  - (ii) Use of the information;
  - (iii) Burden estimate;
  - (iv) Nature of responses (voluntary, required for a benefit, or mandatory);
  - (v) Nature and extent of confidentiality; and
  - (vi) Need to display currently valid OMB number;
- (h) It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected (see note in item 19 of the instructions);
- (i) It uses effective and efficient statistical methodology (if applicable); and
- (j) It makes appropriate use of information technology.

If you are unable to certify compliance with any of these provisions, identify the item below and explain the reason in item 18 of the Supporting Statement.

Signature of Senior Official or designee	Date
MARlenen	8.11.04