|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Part 41 – Security Futures Products** | | | | | |
| **OMB Collection #3038-0059** | | | | | |
|  |  |  |  |  |  |
| **Reporting** | **Estimated # of**  **Respondents or**  **Recordkeepers**  **Per Year** | **Reports**  **Annually**  **by Each**  **Respondent** | **Total Annual**  **Responses** | **Estimated**  **Average**  **Number of**  **Hours Per**  **Response** | **Estimated**  **Total Number**  **of Hours of**  **Annual Burden**  **In Fiscal Year** |
| 41.3 Application for exemption by intermediaries | 5 | 1 | 5 | 25,000 | 125 |
| 41.23(a)(1)-(5) Listing of SFPs | 3 | 20 | 60 | 4 | 240 |
| 41.23(a)(6) and 41.24(a)(5) | 3 | 25 | 75 | .033 | 2.48 |
| 41.23(a)(7) and 41.24(a)(6)  41.25 (a)(1) Reporting of data | 3  3 | .30  20 | .90  60 | 4  1 | 3.6  60 |
| 41.27(c) Rules prohibiting exemptions | 1 | 1 | 1 | 4 | 4 |
| 41.27(e) Rules permitting exemptions | 1 | 1 | 1 | 4 | 4 |
| 41.31 SFPCM designation (one time only) | 1 | 1 | 1 | 5 | 5 |
| 41.32 SFPCM continuing obligations | 3 | 20 | 60 | 4 | 240 |
| 41.33 Application for exemption by SFPCM | 1 | 1 | 1 | 40 | 40 |
| 41.41 FCM/B-D disclosure | 60 | 40 | 2,400 | .25 | 600 |
| 41.49 Margin rule changes | 3 | 5 | 15 | 4 | 60 |
|  |  |  |  |  |  |
| ***Subtotal Reporting Requirements*** | ***87*** |  | ***2,679.90*** |  | ***1,384.08*** |
|  |  |  |  |  |  |
| **Recordkeeping** |  |  |  |  |  |
| 41.41(a)(2) Handling of customer accounts | 60 | 1 | 60 | 4 | 240 |
|  |  |  |  |  |  |
| ***Subtotal Recordkeeping Requirements*** | ***60*** | ***1*** | ***60*** | ***4*** | ***240*** |
|  |  |  |  |  |  |
| ***TOTAL REPORTING AND RECORDKEEPING*** | ***147*** |  | ***2,739.90*** | ***0.592*** | ***1,624.08*** |