



**ICE FUTURES U.S.
APPLICATION FOR POSITION DISAGGREGATION**

Summary of ICE Futures U.S. Rule 6.12

Position limits and position accountability levels apply to all positions in accounts under common ownership (ownership interest of 10% or greater) or control. Additionally, where two or more participants trade pursuant to an expressed or implied agreement, the participants' positions will be aggregated as if the positions were held by a single person. As provided in Exchange Rule 6.12, certain exemptions from aggregation are available. To request an exemption, applicants must complete and submit this form to the ICE Futures U.S. Market Regulation Department ("MRD") detailing the circumstances supporting the exemption. If a market participant has filed a request for an exemption from aggregation with the CFTC, a copy should be provided to the Exchange.

Please submit completed applications and supporting documentation to the MRD by email MarketSurveillance-US@ice.com.

1. Applicant Information

Name of Applicant: _____

Legal Entity Identifier (LEI): _____

Address: _____

City: _____ State: _____ Zip: _____

Country: _____

Contact Person: _____

Title/Position: _____

Phone Number: _____

Email Address: _____

2. Disaggregation Request Details

- a. Summary of Application and Explanation for Disaggregation:** please attach a statement which describes the nature and purpose of your request for disaggregation. Additionally, in writing please describe how the applicant's circumstances meet the requirements below of Rule 6.12(c):

With respect to the positions or accounts of a separately organized entity (an "owned entity"): if the sharing of information associated with such aggregation creates a reasonable risk that such sharing would cause any Person to violate state or federal law or the law of a foreign jurisdiction, or regulations adopted thereunder, **provided that** a written officer's certification to that effect accompanies the request, and **provided further that** such Person does not have actual knowledge of information associated with such aggregation; or

With respect to the positions or accounts of an owned entity in which a Person holds an ownership or equity interest equal to or greater than 10% (except for positions which are subject to Federal position limits): if the individuals controlling the trading decisions of the relevant accounts do not have knowledge of the trading decisions made by each other, the accounts trade pursuant to separately developed and independent trading strategies, there are



written procedures designed to preclude access to information regarding the trades, positions and strategies of each account, and there is no sharing of personnel controlling the respective trading decisions.

- b. Names of Entities Included in Application for Disaggregation:** please provide the Legal Names of the entities requesting disaggregation.
- c. Description of the Applicant's Corporate Structure & Relationship with Disaggregated Parties:** please attach an organizational chart demonstrating the applicant's relationship with the disaggregated parties.
- d. List of Accounts to be Disaggregated:** please provide a detailed list of the accounts to be disaggregated, including the name of the clearing firm where each account is held.
- e. Written Procedures:** please attach a copy of the applicant's written procedures, which are designed to preclude access to information regarding trades, positions and strategies of all disaggregated parties. Additionally, please describe whether the applicant shares any personnel controlling trading decisions of any disaggregated parties. Please provide the relevant portions of such documents with this application.

3. Certification

I certify, on behalf of the applicant(s), that the information provided in this application is accurate and complete to the best of my knowledge, and that all required supporting documentation is included.

Disaggregation approval is not effective unless confirmed in writing by the Exchange. Once granted, such approval remains in effect unless a change in circumstances renders disaggregation impermissible, in which case the Exchange reserves the right to revoke or amend the firm's disaggregation status at its sole discretion. In its discretion, the Exchange may impose conditions on, revoke, or modify a firm's disaggregation status.

The applicant agrees to comply with all other Rules and requirements of the Exchange, and to promptly submit a supplemental statement informing the Exchange of any material changes to the information provided in this application or circumstances affecting the firm's ability to remain disaggregated in accordance with Exchange Rule 6.12.

The undersigned certifies that this application is executed by an officer of the Applicant, or by one of its duly authorized representatives, as of the date shown below.

Signature: _____

Name: _____

Title: _____

Date: _____