

TEMPLATE: DO NOT SEND TO NFA

NFA | INDIVIDUAL DISCLOSURE MATTER PAGES

Instructions for Using the Individual Disclosure Matter Page Templates

READ THESE INSTRUCTIONS CAREFULLY BEFORE COMPLETING OR REVIEWING THE DISCLOSURE MATTER PAGE (DMP). THE FAILURE TO ACCURATELY COMPLETE THE DMP OR THE OMISSION OF REQUIRED INFORMATION MAY RESULT IN THE DENIAL OR REVOCATION OF REGISTRATION.

THE FAILURE TO DISCLOSE A DISCIPLINARY MATTER EITHER IN AN APPLICATION OR AN UPDATE WILL RESULT IN THE IMPOSITION OF A LATE DISCLOSURE FEE IN ACCORDANCE WITH NFA REGISTRATION RULE 210(c).

Do not send this document to NFA. It is a template that may be used to assist in filing the electronic version in NFA's DMP Filing System.

You may fill out the template online and save and/or print it when you are finished or you can download the template and/or print it and fill it out later.

For each matter that caused a "Yes" answer to a Disciplinary Information Disclosure Question, a DMP, which is accessible using NFA's DMP Filing System, must be filed. In addition to the required DMP, other documents about the matter must be provided to NFA. If court documents are unavailable, a certified letter from the court verifying that must be sent to NFA. If documents other than court documents are unavailable, a written explanation for their unavailability must be provided. Electronic copies of the documents can be uploaded using NFA's DMP Filing System, or documents may be emailed to registration@nfa.futures.org, faxed to (312) 559-3411 or mailed to NFA Registration Department, 320 South Canal, Suite 2400, Chicago IL 60606. If submitting documents by mail, email or fax, please include the name and NFA ID of the individual with the submission.

Please note you cannot access the DMP Filing System for an individual until after you have filed the individual's Form 8-R.

Providing all documents to NFA is important. Failure to do so will delay the registration process and may result in the denial or revocation of registration.

DEFINED TERMS

Words that are underlined in this template are defined terms. If viewing this template on NFA's website, click the underlined terms to see their meanings. If viewing a hardcopy of the template, please refer to the [Definition of Terms section in the Form 8-R template](#) for their meanings.

ADDITIONAL ASSISTANCE

Additional information regarding registration requirements and specific topics can be found on the Registration page of NFA's website at www.nfa.futures.org. NFA's Information Center, (800-621-3570 or 312-781-1410), is also available to provide assistance. Its normal hours are Monday through Friday, from 8:00 AM to 5:00 PM, CT.

Form 8-R Disciplinary Information Disclosure Questions

Applicants answer the Disciplinary Information Disclosure Questions in the Form 8-R application. They are included in this DMP template solely as a reference.

Criminal Disclosures

Question A.

(1) Have you personally or

(2) has any entity of which you were a Principal at the time the activities occurred

ever pled guilty or nolo contendere (“no contest”) to or been convicted or found guilty of any felony in any U.S., non-U.S. or military court?

Question B.

(1) Have you personally or

(2) has any entity of which you were a Principal at the time the activities occurred

ever pled guilty to or been convicted or found guilty of any misdemeanor in any U.S., non-U.S. or military court which involves:

- embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or
- violation of sections 7203, 7204, 7205 or 7207 of the Internal Revenue Code of 1986; or
- violation of sections 152, 1341, 1342, or 1343 or chapters 25, 47, 95 or 96 of the U.S. Criminal Code; or
- any transaction in or advice concerning futures, options, leverage transactions or securities?

Question C.

Is there a charge pending against

(1) you personally or

(2) any entity of which you were a Principal at the time the activities occurred

the resolution of which could result in a “Yes” answer to the above questions?

Question D.

In any case brought by a U.S. or non-U.S. governmental body (other than the CFTC), has a court ever permanently or temporarily enjoined

(1) you personally or

(2) any entity of which you were a Principal at the time the activities occurred

after a hearing or default or as the result of a settlement, consent decree or other agreement, from engaging in or continuing any activity involving:

- any transaction in or advice concerning futures, options, leverage transactions or securities; or
- embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property?

Question E.

In any case brought by a U.S. or non-U.S. governmental body (other than the CFTC),

(1) have you personally or

(2) has any entity of which you were a Principal at the time the activities occurred

ever been found after a hearing or default or as the result of a settlement, consent decree or other agreement, to:

- have violated any provision of any investment-related statute or regulation thereunder; or
- have violated any statute, rule, regulation or order which involves embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or
- have willfully aided, abetted, counseled, commanded, induced or procured such violation by any other person; or
- have failed to supervise another person's activities under any investment-related statute or regulation thereunder?

Question F.

(1) Have you personally or

(2) has any entity of which you were a Principal at the time the activities occurred

ever been debarred by any agency of the U.S. from contracting with the U.S.?

Question G.

(1) Have you personally or

(2) has any entity of which you were a Principal at the time the activities occurred

ever been the subject of any order issued by or a party to any agreement with a U.S. or non-U.S. regulatory authority (other than the CFTC), including but not limited to a licensing authority, or self-regulatory organization (other than NFA or a U.S. futures exchange) that prevented or restricted your ability to engage in any business in the financial services industry?

Question H.

Are any of the orders or other agreements described in Question G currently in effect against you personally?

Question I.

(1) Are you personally or

(2) is any entity of which you were a Principal at the time the activities occurred

a party to any action, the resolution of which could result in a “Yes” answer to the above questions?

Financial Disclosures

Question J.

Have you failed to pay any arbitration awards involving CFTC-regulated products, CFTC civil monetary penalties, CFTC restitution amounts, CFTC disgorgement amounts, or CFTC reparation amounts?

Question K.

(1) Have you personally or

(2) has any entity of which you were a Principal at the time the activities occurred

ever been the subject of an adversary action brought by a U.S. bankruptcy trustee?

Question L.

Have you ever been discharged or permitted to resign for cause as a result of allegations of:

- embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or
- failure to supervise another person's activities under any investment-related statute or regulation thereunder?

Disciplinary Information - Individual Criminal Disclosure Matter Page

Individual Name: _____

NFA ID#: _____

Please file a separate Disclosure Matter Page (DMP) for each criminal case.

Disclosure Questions

Completing this section does not update answer(s) to the Criminal Disclosure question(s). To update the Criminal Disclosure questions, click the appropriate link on the View/Update Registration Information – Entity Profile Information screen in NFA’s Online Registration System.

Check the question(s) you are disclosing the criminal action under*. To view the text of the questions, refer to the Form 8-R Disciplinary Information Disclosure Questions section at the beginning of this document.

A B C

Basis for Disclosure

Check all that apply*^:

Personally Named

Action taken against an entity of which you were a Principal at the time the activities occurred

Criminal Case Information

Court Type and Filing Date

Court in which formal charge(s) were filed (check one)*:

Federal Court

State/County Court

Military Court

Non-U.S. Court

Other: _____

Criminal Case Information (cont.)

Date formal charge(s) were filed in court via indictment, information, criminal complaint or equivalent instrument containing an accusation of a crime*:

Month _____ Year _____

Court Information

Name of Court (e.g., Cook County, Illinois Circuit Court)*: _____

City or County*+: _____

State (United States only)*: _____

Country*: _____

Case Information

Case Number*: _____

Case Status*:

Pending On Appeal Final

Charge Details

You must complete a charge details section for each disclosable charge in the criminal case. For example, if you pled guilty to and were convicted of felony burglary and misdemeanor theft, you would complete two charge details sections. If you need more than three charge details sections, complete the information in another document and attach it to this document.

Formal Charge Description*: _____

Classification (check one)*:

Felony Misdemeanor Other: _____

Charge Details (cont.)

Plea Entered (check one)*:

Not Guilty

Guilty

No Contest/Nolo Contendere

No Plea Entered

Other: _____

Disposition (check one)*:

Convicted/Found Guilty

Other (Requires Explanation): _____

Formal Charge Description*: _____

Classification (check one)*:

Felony Misdemeanor Other: _____

Plea Entered (check one)*:

Not Guilty

Guilty

No Contest/Nolo Contendere

No Plea Entered

Other: _____

Disposition (check one)*:

Convicted/Found Guilty

Other (Requires Explanation): _____

Charge Details (cont.)

Formal Charge Description*: _____

Classification (check one)*:

Felony Misdemeanor Other: _____

Plea Entered (check one)*:

Not Guilty

Guilty

No Contest/Nolo Contendere

No Plea Entered

Other: _____

Disposition (check one)*:

Convicted/Found Guilty

Other (Requires Explanation): _____

Comments

Use this field to provide a summary of the circumstances surrounding the charge(s), the current status or final disposition including sentencing/penalty information. There is a 4,000 character limit.*^

Supporting Documentation

Supporting documentation must be provided if not previously submitted. This includes but is not limited to the information/indictment, superseding indictments, plea agreement or findings by jury, judgment, sentencing and/or probation order, proof of satisfaction of sentence, and the final disposition of the court. If court documentation is no longer available, please submit a certified letter from the applicable court providing the reason the documentation is not on file.

Supporting documentation may be provided electronically using the upload function in the DMP Filing System (only .pdf, .doc, .docx, .txt, and .tif document types are allowed), or may be emailed to registration@nfa.futures.org, faxed to 312-559-3411, or mailed to NFA Registration Department, 320 South Canal, Suite 2400, Chicago, IL 60606. If submitting documents by mail, email or fax, please include the name and NFA ID of the individual with the submission.

*Required to file DMP if the basis for disclosure is personal or personal and Principal.

^Required to file DMP if the basis for disclosure is Principal only.

+Required to file DMP if the Court is located in the United States.

Disciplinary Information - Individual Regulatory Disclosure Matter Page

Individual Name: _____

NFA ID#: _____

Please file a separate Disclosure Matter Page (DMP) for each regulatory action. A regulatory action may be reportable under more than one regulatory disclosure question. If the same conduct/event resulted in more than one regulatory action, provide details for each action on a separate DMP.

Disclosure Questions

Completing this section does not update answer(s) to the Regulatory Disclosure question(s). To update the Regulatory Disclosure questions, click the appropriate link on the View/Update Registration Information – Entity Profile Information screen in NFA’s Online Registration System.

Check the question(s) you are disclosing the regulatory action under*. To view the text of the questions, refer to the Form 8-R Disciplinary Information Disclosure Questions section at the beginning of this document.

D E F G H I

Basis for Disclosure

Check all that apply*^:

- Personally Named
- Action taken against an entity of which you were a Principal at the time the activities occurred

Regulatory Case Information

Regulatory/Civil Action initiated by (check one)*:

- SEC
- Other Federal Agency: _____
- State Agency: _____
- FINRA
- Other Self-Regulatory Organization: _____
- Non-U.S. Regulator: _____

Regulatory Case Information (cont.)

Case Number*: _____

Case Status*:

Pending On Appeal Final

Action appealed to (check one)*:

Federal/State Court: _____

SEC

Other Federal Agency: _____

State Agency: _____

FINRA

Other Self-Regulatory Organization: _____

Non-U.S. Regulator: _____

Are there any limitations or restrictions currently in effect while on appeal?*

Yes No

Please provide details*

Regulatory Case Information (cont.)

Enter date initiated if the case status is pending, date appeal filed if the case status is on appeal, and date resolved if the case status is final.

Date Initiated/Appeal Filed/Resolved*:

Month _____ Year _____

Were any of the following sanctions imposed? (check all that apply)**:

Bar (Temporary/Permanent)

Prohibition

Debarment from contracting with the U.S.

Requalification by Exam

Restrictions/Conditions

Denial

Expulsion

Revocation

Suspension

Injunction (Preliminary/Permanent)

Other: _____

Comments

Use this field to provide a summary of the circumstances surrounding the action and/or additional sanction information. There is a 4,000 character limit. ^

Supporting Documentation

Supporting documentation must be provided if not previously submitted. This includes but is not limited to the complaint, settlement offer and final order/judgment.

Supporting documentation may be provided electronically using the upload function in the DMP Filing System (only .pdf, .doc, .docx, .txt, and .tif document types are allowed), or may be emailed to registration@nfa.futures.org, faxed to 312-559-3411, or mailed to NFA Registration Department, 320 South Canal, Suite 2400, Chicago, IL 60606. If submitting documents by mail, email or fax, please include the name and NFA ID of the individual with the submission.

*Required to file DMP if the basis for disclosure is personal or personal and Principal.

^Required to file DMP if the basis for disclosure is Principal only.

+Required to file DMP if the case status is final.

Disciplinary Information - Individual Financial Disclosure Matter Page (Question J)

Individual Name: _____

NFA ID#: _____

Please file a separate Disclosure Matter Page (DMP) for each action.

Disclosure Question

Completing this section does not update the answer to the Financial Disclosure question. To update the Financial Disclosure question, click the appropriate link on the View/Update Registration Information – Entity Profile Information screen in NFA’s Online Registration System.

Check the question you are disclosing the financial matter under*. To view the text of the question, refer to the Form 8-R Disciplinary Information Disclosure Questions section at the beginning of this document.

J

Case Information

Action Type (check one)*:

- Unpaid arbitration award (if any component of the unpaid award involves a CFTC-regulated product, it requires disclosure regardless of where the case was heard)
- Unpaid CFTC civil monetary penalty, restitution and/or disgorgement amount
- Unpaid CFTC reparations amount

Action filed with (check one)*:

- CFTC
- NFA
- Other Arbitration Forum: _____

Case Number*: _____

Date of Award/CFTC Matter*:

Month _____ Year _____

Comments

Use this field to provide a summary of the circumstances leading to the action as well as status/disposition details. There is a 4,000 character limit.

Supporting Documentation

For actions taken by agencies other than the CFTC or NFA, supporting documentation must be provided if not previously submitted. This includes the final order or judgment.

Supporting documentation may be provided electronically using the upload function in the DMP Filing System (only .pdf, .doc, .docx, .txt, and .tif document types are allowed), or may be emailed to registration@nfa.futures.org, faxed to 312-559-3411, or mailed to NFA Registration Department, 320 South Canal, Suite 2400, Chicago, IL 60606. If submitting documents by mail, email or fax, please include the name and NFA ID of the individual with the submission.

*Required to file DMP

Disciplinary Information - Individual Financial Disclosure Matter Page (Question K)

Individual Name: _____
NFA ID#: _____

Please file a separate Disclosure Matter Page (DMP) for each action.

Disclosure Question

Completing this section does not update the answer to the Financial Disclosure question. To update the Financial Disclosure question, click the appropriate link on the View/Update Registration Information – Entity Profile Information screen in NFA’s Online Registration System.

Check the question you are disclosing the financial matter under*. To view the text of the question, refer to the Form 8-R Disciplinary Information Disclosure Questions section at the beginning of this document.

K

Basis for Disclosure

Check all that apply*^:

- Personally named
- Action taken against an entity of which you were a Principal at the time the activities occurred.

Bankruptcy Case Information

United States Bankruptcy Court (USBC) location where the related bankruptcy case was filed (e.g., Northern District of Illinois)*:

Case Number: _____

Adversary Case Information

Court where the adversary action was filed (check one)*:

- USBC United States District Court

Court Location (e.g., Northern District of Illinois)*: _____

Case Number of Adversary Action*: _____

Adversary Case Information (cont.)

Adversary Action Status (check one)*:

Pending On Appeal Final

Adversary Action Final Disposition (check one)*+:

Settled Dismissed Judgment Other: _____

Enter date initiated if the adversary action status is pending, date appeal filed if the adversary action status is on appeal, and date resolved if the adversary action status is final.

Date Initiated/Appeal Filed/Resolved*:

Month _____ Year _____

Comments

Use this field to provide a summary of the circumstances leading to the adversary action as well as status/disposition details. There is a 4,000 character limit.^

Supporting Documentation

Supporting documentation for each adversary action must be provided if not previously submitted. This includes the complaint and final disposition for each adversary action.

Supporting documentation may be provided electronically using the upload function in the DMP Filing System (only .pdf, .doc, .docx, .txt, and .tif document types are allowed), or may be emailed to registration@nfa.futures.org, faxed to 312-559-3411, or mailed to NFA Registration Department, 320 South Canal, Suite 2400, Chicago, IL 60606. If submitting documents by mail, email or fax, please include the name and NFA ID of the individual with the submission.

*Required to file DMP if the basis for disclosure is personal or personal and Principal.

^Required to file DMP if the basis for disclosure is Principal only.

+Required to file DMP if the adversary action status is final.

Disciplinary Information - Individual Employment Disclosure Matter Page

Individual Name: _____
NFA ID#: _____

Please file a separate Disclosure Matter Page (DMP) for each event.

Disclosure Question

Completing this section does not update the answer to the Employment Disclosure question. To update the Employment Disclosure question, click the appropriate link on the View/Update Registration Information – Entity Profile Information screen in NFA’s Online Registration System.

Check the question you are disclosing the employment matter under*. To view the text of the question, refer to the Form 8-R Disciplinary Information Disclosure Questions section at the beginning of this document.

L

Employment Disclosure Information

Former Employer Name*: _____

Nature of Termination (check one)*:

Discharged Permitted to Resign

Date of Termination*:

Month _____ Year _____

Comments

Use this field to provide a summary of the allegations and circumstances surrounding the employment termination. There is a 4,000 character limit.*

Supporting Documentation

Supporting documentation may be provided if applicable and not previously submitted.

Supporting documentation may be provided electronically using the upload function in the DMP Filing System (only .pdf, .doc, .docx, .txt, and .tif document types are allowed), or may be emailed to registration@nfa.futures.org, faxed to 312-559-3411, or mailed to NFA Registration Department, 320 South Canal, Suite 2400, Chicago, IL 60606. If submitting documents by mail, email or fax, please include the name and NFA ID of the individual with the submission.

*Required to file DMP.