

The following instructions outline how to file electronic exemptions using NFA's Exemptions System. If you have questions, please contact NFA's Information Center (312-781-1410 or 800-621-3570 or information@nfa.futures.org).

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### **Accessing NFA's Exemptions System**

1. Click "Electronic Filing Systems" at the top of any page of <u>NFA's website</u>.

ACCESS THE SYSTEM

- Click the plus sign (+) by either the CPO or CTA section to see a list of systems for CPOs and CTAs. From this list, click "Exemptions System."
- 3. Click the appropriate

button on the Exemptions page to log in.

- a. If you are an NFA Member, click access the system under File an Exemption as a Registrant. Enter your Online Registration System (ORS) user name and password to access the system.
- b. If you are not a registrant, click ACCESS THE SYSTEM under File an Exemption as a Non-Registrant. Enter your user name and password to access the system. If you have not previously logged in, see "Creating a New Account for Non-Registrants" below for instructions for creating a new account. If you have forgotten your login information, see "Recovering Forgotten User Name or Password for Non-Registrants" below for instructions.
- 4. Once logged in, you'll see the Exemption Index screen, which contains two sections that list all active exemptions—Firm Exemptions and Pool Exemptions.



## Filing a Firm Exemption or No Action Notice

1. Click "File New Exemption" under the Firm Exemptions section.

			National Futures Assoc	iation				
			Exemptions Filing Sys	tem				
(NL/			Exemption In	ndex				
EXEMPTION S © Contact © Exemption Index © Firm Information © Regulation Help	You are ad monitored, of the syst password	u are accessing a system containing U.S. Commodity Futures Trading Commission records. Your usage may be nitored, recorded, and subject to audit, and, by your use, you consent to monitoring and recording. Unauthorized use the system is prohibited and subject to criminal and civil penalties. The Commission requires that you use a complex ssword for accessing Commission records and that you change your password at a regular interval.						
Verification Override     O     Create Non-Registrant	TEST FIR (Non-Reg	EST FIRM TWO NFA ID: 0474152						
Name Search								
W User Management			Firm Exemptions					
30 Logout								
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	Click the link below to create an exemption for this firm.							
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The Exemptions system utilizes Adobe			Pool Exemptions					
Acrobat for viewing help and filing print								
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	Pool ID	Pool Name		Exemption	со-сро	Print A	ffirm	
	P057295	ABC 1		Exemption	View			
	P098019	TEST POOL		Exemption Withdrawn				
			1					
		Create New Pool/Exemp	tion	Create Co-CPO R	elationship			

2. Use the drop down to select the exemption you wish to file.

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Exemptions Filing System								
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EXEMPTIONS	TEST FIRM TWO (Non-Registrant)				N	FA ID: 0474	152	0
Exemption Index		F	irm Exe	mption Informat	ion			
» Firm information	Active Exemption	Information						
IN Regulation Help								
» Verification Override								
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0 Name Search		PI	ease ado	your exemptions be	low.			
W User Management	Withdrawn Exemp	tion Information						
10 Logout								
	Exemption	Date Filed	Update Filed Date	Date Withdrawn	Update Withdrawn Date	Delete Exemption	Print	Affirmed Date
	4.14(a)(8)	02/20/2014	Ś	03/03/2015	4	DELETE	ð	02/20/2014
Get Reader				1				
The Exemptions system utilizes Adobe								
Acrobat for viewing help and filing print								
capabilities, so if you do not have			File	Firm Exemption				
Adobe Reader, please download it.	Select Exemption: View Status in Basic				Regulation	Help (Adobe	File)	



- 3. A template will be generated for the exemption you selected and will be prepopulated with contact information currently on file or provided during the account set-up process.
  - a. If the contact information is incorrect, you must first edit this information by selecting the Firm Information link in the left-hand menu.
- 4. Scroll down to review the affirmation.
- 5. Click "Submit" to file the exemption. You will then see the exemption on the Firm Exemption Management screen.
- 6. To return to the Exemption Index, select the Exemption Index link in the left-hand menu.



## Filing a Pool Exemption or No Action Notice

1. If this is the pool's first exemption, click "Create New Pool/Exemption" under the Pool Exemptions section.

	National Futures Association						
	Exemptions Fili	ing System					
(NEXT	Exempti	ion Index					
EXEMPTION S 30 Contact 30 Exemption Index 30 Firm Information 30 Resultation Help	You are accessing a system containing U.S. Commodity Futures monitored, recorded, and subject to audit, and, by your use, you of the system is prohibited and subject to criminal and civil penalt password for accessing Commission records and that you chang	Trading Commission records. Your usage may be consent to monitoring and recording. Unauthorized use ties. The Commission requires that you use a complex je your password at a regular interval.					
Verification Override     O     Verification Override     O     Create Non-Registrant     O     Name Search	rEST FIRM TWO NFA ID: 0474152 Non-Registrant)						
0 User Management	Firm Exemp	otions					
a Logout	Firm Exemption(s) Have Not Been Filed Click the link below to create an exemption for this firm. File New Exemption						
The Exemptions system utilizes Adobe	Pool Exemp	Pool Exemptions					
Acrobat for viewing help and filing print capabilities, so if you do not have Adobe Reader, please download it.	Click on the Pool ID to edit or delete exemptions.	Filter					
	Pool ID Pool Name	Exemption CO-CPO Print Affirm					
	P057295 ABC 1	Exemption View Withdrawn Firms					
	P098019 TEST POOL	Exemption Withdrawn					
	1	· · · · · ·					
	Create New Pool/Exemption	Create Co-CPO Relationship					
		-					

- a. Enter the full name of the pool for which you are filing an exemption.
- 2. If the pool has an existing exemption or has previously filed an exemption, click the appropriate Pool ID.



3. Use the drop down to select the exemption you wish to file.

		National Futures Association
		Exemptions Filing System
ALA		
		Pool/Exemption Management
	TEST FIRM TWO	NFA ID: 0474152
EXEMPTIONS	(Non-Registrant)	
a Evamation Index		
Exemption index     Firm Information		Pool/Exemption Information
Regulation Help		
Verification Override	Pool Name	
Create Non-Registrant		<b>v</b>
Name Search		
User Management		
0 Logout		
		File Pool Exemption
	Select Exemption:	Regulation Help (Adobe File)
Adobe Get Reader"	View Status in Basic	
The Exemptions system utilizes Adobe		
Acrobat for viewing help and filing print		
capabilities, so if you do not have		
Noble Reader, please download it.		
		At Back to Excernition Index
		<< Back to Exemption Index

- 4. A template will be generated for the exemption you selected and will be prepopulated with contact information currently on file or provided during the account set-up process.
  - a. If the contact information is incorrect, then you must first edit this information by selecting the Firm Information link in the left-hand menu.
- 5. Scroll down to review the affirmation.
- 6. Click submit to file the exemption.
- 7. The system will perform a name match search to ensure that the pool doesn't already exist. Select the pool from the generated list of pools. If the pool does not already exist in the list, select the option titled "Pool Is Not Listed Above Create New Pool" and click "Continue."
- 8. You will then see the exemption under the Pool Exemptions section of the Exemption Index screen.



## Creating a Co-CPO Relationship to a Pool

1. Click "Create Co-CPO Relationship" on the Exemption Index screen.

			National Futures	s Association	1			
			Exemptions Fil	ling System				
(NITA			Exempt	ion Inde	ĸ			
EXEMPTION S 20 Contact 20 Exemption Index 20 Firm Information 20 Regulation Help	You are acc monitored, r of the syster password fo	ou are accessing a system containing U.S. Commodity Futures Trading Commission records. Your usage may ionitored, recorded, and subject to audit, and, by your use, you consent to monitoring and recording. Unauthoriz the system is prohibited and subject to criminal and civil penalties. The Commission requires that you use a co assword for accessing Commission records and that you change your password at a regular interval.						
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» Create Non-Registrant 🕜	(Non-Regi	strant)						-
Name Search			Firm Exem	ations				
W Logout		rim Exemptions						
		Firm Exemption(s) Have Not Reen Filed						
		Click the link below to create an exemption for this firm.						
			File New Exe	mption				
Get Adobe								
The Exemptions system utilizes Adobe			Pool Exemp	ptions				
Acrobat for viewing help and filing print	Click on the	Pool ID to edit or delete e	xemptions					
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	P098019 T	EST POOL		Exem	ption			
			1	Ivvitno	awn			
		Create New Pool/Exen	nption	Create	Co-CPO Re	lationship		

2. Enter the full name of the pool for which you would like to create a Co-CPO relationship.





3. Select the pool from the generated list and click "Create Co-CPO."

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		Search	
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DITY POOL	ABC ASSET MANAGEMENT	NEW YORK, NY	Create Co-CPO
DITY POOL	ABC ASSET MANAGEMENT	NY, NE	Create Co-CPO
	ABC LLC	CHICAGO, IL	Create Co-CPO
	TESTTESTERION	ASDASD, IL	Create Co-CPO
	ABC ASSET MANAGEMENT	NEW YORK, NY	Create Co-CPO
	ABUTEST, INC.	INEW YORK, NY	Create Co-CPO
IRELAND PLC ACTING ABCA INFERENCE FUND A F ABCA FUNDS IRELAND	ABC ARBITRAGE ASSET MANAGEMENT SA	PARIS,	Create Co-CPO
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- 4. Click on the window that reminds you that by creating a Co-CPO relationship, you may be assuming certain reporting and recordkeeping responsibilities with respect to this pool and should be familiar with your obligations under Part 4 of the CFTC's Regulations.
- 5. You will be returned to the Exemption Index, from which you can see a list of firms acting as a Co-CPO for a pool by clicking "View Firms" in the Pool Exemptions section.



#### **Creating a New Account for Non-Registrants**

- 1. From the sign-on screen, click "Never been in the Exemptions System Before."
- 2. Answer the questions presented in the Exemptions Account Set-Up process.

	National Futures Association
	Exemptions Filing System
(NEXT	Exemptions - Account Setup
	Firm Name Search
	Have you or your firm filed an exemption with us before? OYes ONo Are you a sole proprietor or a firm? OSole Proprietor OFirm Firm name*:
	* Partial names accentable
	Search
	Please contact NFA's Information Center at (312) 781-1410 or (800) 621-3570 for further assistance. Thank you.
	Site Index I Links I Contact NFA I Privacy I What's New I Home
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- 3. Enter the firm name and click "Search."
- 4. Select your firm from the list.
  - a. If your firm appears, click "Select" next to your Firm Name to create a new account for your firm.



i.	Enter the information in Steps	1-3 for your firm and click "	'Verify."
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		National Fu	tures Association	
		Exemption	s Filing System	
(NEXT				
1 VALORE		Firm V	erification	
K Back To Login Selection	Firm ver to retrieve Please co	ification is the process requ your existing exemption inf ontact NFA at (312) 781-141	ired to positively identify ormation. This is to prote 10 or (800) 621-3570 for	your firm in order et your information. additional support.
	Firm Name			
	TEST			
	1201			
	Step 1: Enter previou	s pool or firm exemption i	nformation or both	
		POOLEXE	npuon mormation	Filing Date
	Pool Name	E	xemption	(mm/dd/yyyy)
				✓
			OR-	
		Firm Exer	nption Information	Filler Data
		E	xemption	(mm/dd/yyyy)
				✓
	Step 2: Enter the follo	wing information for your	r firm	
	Contact First Name		Contact Last Name	
	Street Number	Street Name		(include street name only)
	Address 2			
	Zip Code			
	Telephone		1	
	Eav		1	
	Step 3: Enter your Fir	m Account Information.	1	
	ULast 4 SSN OT	ax ID O Foreign ID		
	(Sole Prop) (US F	Firm) (Foreign Firm)		
		Verify	Cancel	
		Site Index   Links   Contact	NFA   Privacy   What's New	Home
		@ 2003-2018 Nati	onal Futures Association	

- ii. From the Exemptions Account Setup screen, enter the information requested and click "Create User."
- iii. Your user name will be displayed at the bottom of the screen.
   Please record your user name and use it along with your password to log into the system.



b. If it doesn't appear, click "I Do Not See My Firm" to create a new account.

		National	Futures Association						
NILA		Exempt	ions Filing System						
		Exemptio	ons - Account Setup						
		Firm	Name Search						
	Have you or your	Have you or your firm filed an exemption with us before? ○ Yes ● No							
	Are you a sole pro	Are you a sole proprietor or a firm? O Sole Proprietor I Firm							
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	Firm name*: TE	Firm name*: TEST FIRM TWO							
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	Fatual names acce	prable							
			Search						
		Sea	arch Results						
		Firm Name	Address						
	SELECT TEST		Not on File						
	SELECT TEST		BOSTON, MA						
	SELECT TEST		QER, IL						
	SELECT TEST		CITY, MA						
	SELECT TEST		TEST,						
	SELECT TEST		TEST,						
	SELECT TEST		TEST,						
	SELECT TEST		GREENWICH, CT						
	SELECT TEST		Not on File						
	SELECT TEST	a contraction	CHICAGO, IL						
		123458	78910						
	The firm(s) above have t of your firm please selec	een identified as possible match t it, otherwise click on the I Do No I Do Not See	es to your firm. If you see the name t See My Firm link.						
		Site Index   Links   Conta	act NFA   Privacy   What's New   Home						
		⊕ 2003-2018 N	lational Futures Association						



i. From the Create New Account screen, enter the information requested and click "Create Account."

	National Futures Association
	Exemptions Filing System
	Exemptions Filing System
	Exemptions - Account Satur
NUMBER OF STREET	Exemptions
1 4 5 -	Exemptions
1 De Mary Const	Create New Account
	Have you as your form filed an exemption with us before?
Back To Login Selection	Enter Firm Information
	Firm Name * TEST FIRM TWO
	First Name * Last Name *
	Address 1 *
	Address 2
	Address 3
	City ** State ** 🗸
	Province
	Zip Code ** Country *
	Telephone * Ext
	Fax
	Email *
	Firm Account Information
	O Last 4 SSN O Tay ID O Foreign ID
	(Sole Prop) (US Firm) (Foreign Firm)
	The second s
	Enter Password
	Password *
	Confirm Password *
	Create Account
	* Remularity continue
	** Required for United States address to continue

- ii. You will be directed to a screen that contains your account information and your user name. Please record your user name and use it along with your password to log into the system.
- 5. Click "Login" and you will be taken back to the Non-Registrant Exemption Login screen.



#### **Recovering Forgotten User Name or Password for Non-Registrants**

- 1. Click "Forgot User Name or Password?" on the Non-Registrant Exemption Login screen.
  - a. If you have forgotten your user name, then complete the four questions in the Retrieve User Name box. Click "Send User Name," which will send the user name to the email address on file.

	National Futures Association					
AHA	Exemptions Filing System					
( <b>N</b> ) <b>X</b>						
J VI CERT	Exemptions					
AMA	Please contact NFA at (312) 781-1410 or (800) 621-3570 for additional support.					
K Back To Login Selection	Petrieve liser Name					
	Firm Account Information					
	● Last 4 SSN ○ Tax ID ○ Foreign ID					
	Country					
	Zip (US residents, enter the first five digits only please. Foreign residents need only enter a postal code if previously provided.)					
	Email Address					
	Send User Name Cancel					
	Retrieve Password					
	Enter your user name:OR Enter your email address:					
	Send Reset Password Email Cancel					
	Site index   Links   Contact NFA   Privacy   What's New   Home © 2003-2018 National Futures Association					

- b. If you have forgotten your password, then enter either your user name or the email address on file in the Retrieve Password box. Click "Send Password Reset Email," which will send a password reset email to the email address on file.
  - i. If the email address on file is associated with more than one user name, then the user name must be used to recover a forgotten password.
- If you are unable to recover your account by completing the questions or if you no longer have access to the email address on file, please contact NFA (312-781-1410 or 800-621-3570) for additional support.

# NFA

# Exemptions System Easy Reference Guide

#### How to Complete the Affirmation Process

- CFTC rules require any firm that currently claims an exemption from CPO registration under CFTC Regulations 4.13, an exclusion from CPO registration under Regulation 4.5, or an exemption from CTA registration under 4.14 to annually affirm the applicable notice of exemption within 60 days of each calendar year end. Firms that fail to file the affirmation notice by the required date will be deemed to have requested a withdrawal of the exemption and, therefore, may be required to be registered.
  - 1. In order to affirm an exemption, visit the Exemption Index screen. There, you will see a list of exemptions listed by firm and pool, as applicable.
  - 2. Click on the icon 4 in the Affirm column for each exemption that requires affirmation. Once clicked, the icon is replaced with the date of affirmation.
  - 3. Remember to re-affirm every year.

#### **Tips for Filing Exemptions or Completing Affirmations**

- The Exemptions System requires a new password every 60 days. If your password is over 60 days old, the Exemptions System will require you to update your password the next time you log in. Your password must be at least 9 characters and include at least 3 of the following categories: (1) upper-case letters, (2) lower-case letters, (3) numbers, or (4) symbols.
- When creating an account as a non-registrant, you are required to enter the last four digits of your social security number for sole proprietors, your Tax ID for U.S. firms, or your Foreign ID for foreign firms. Note that this information will only be used in the event that you need to retrieve your password if you should forget it in the future.
- If you've forgotten your password as a non-registrant and the Exemption
  Password Reset screen isn't working properly, ensure a <u>supported web browser</u>
  is being used (Microsoft Edge or Firefox). Google Chrome isn't supported and
  must be completely exited out of before trying to access the system via a
  supported browser.
- It is important that the email contact information on file for your firm is current in the Exemptions Filing System as this email is used to recover lost user names and passwords. Promptly update this information if it changes.