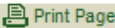


EasyFile Changes for Pool Financial Statements

Upon logging into EasyFile, firms will see a list of filings by pools:

Pool Index 

You are accessing a system containing U.S. Commodity Futures Trading Commission records. Your usage may be monitored, recorded, and subject to audit, and, by your use, you consent to monitoring and recording. Unauthorized use of the system is prohibited and subject to criminal and civil penalties. The Commission requires that you use a complex password for accessing Commission records and that you change your password at a regular interval.

Please note that this EasyFile for Pool Filers system will not be available for use Monday through Friday from 8:00 p.m. to 9:00 p.m. CT. The system may also occasionally be unavailable at other times due to system maintenance.

Please click on the Pool Name to view all the filings associated with that particular pool


TEST FIRM **NFA ID: 0328321**

| End Date | Due Date | Status | ID | Pool Name |
|----------------------------|----------|-------------|---------|----------------------|
| 12-31-2014 | | Unsubmitted | P101145 | NEW TEST POOL 101 |

Upon selecting the applicable pool annual financial statement, firms will be presented with the following CheckList, which includes reference to the new Cover Page:


Pool Financial CheckList

NEW TEST POOL 101 **12-31-2014** **NFA ID: P101145**

[◀ Previous](#) [Save](#)  [Next ▶](#)

The following steps must be completed before you will be able to submit your filing.

1. [Cover Page](#) Incomplete
2. [Pool Financial Balances](#) Incomplete
3. [Upload Statement](#) Incomplete
4. [Submit Statement](#) Not Submitted


[◀ Previous](#) [Save](#)  [Next ▶](#)

Cover Page

Selecting "Cover Page" will bring up required contact information, as well as several pool-specific questions for firms to answer. In the screenshot below, the firm indicates the annual report is audited and additional options regarding the preparation of the report are populated.

Cover Page

NEW TEST POOL 10112-31-2014NFA ID: P101145

[< Previous](#)[Save](#) [Next >](#)

In the event that clarification is required, please fill in the information for the contact person for this annual pool report.

Email Address:

Last Name:

First Name:

Title:

Phone Number:

Please provide the 'as of' date of the report you are uploading:

Is the annual report audited by an independent public accountant? ☒ Yes ☐ No

Statement was prepared in accordance with (must select only one):

☐ US Generally Accepted Accounting Principles

☐ International Financial Reporting Standards

☐ Other

Is the auditor's opinion Unqualified? ☐ Yes ☐ No

Does the annual report include the oath or affirmation required by CFTC Regulation 4.22(h)? ☐ Yes ☐ No

Does the statement include either the Net Asset Value/unit of the pool or a listing of the participants' interest in the pool? ☐ Yes ☐ No

Has the CPO been delegated all investment management authority with respect to this commodity pool, pursuant to CFTC Letter No. 14-69 and/or 14-126? ☐ Yes ☐ No

If the firm indicates the annual report is not audited, the following options will populate instead:

Is the annual report audited by an independent public accountant? ☐ Yes ☒ No

For the unaudited statement, the CPO has:

☐ Obtained from participants, waivers of their rights to receive an audited statement

☐ Obtained from the CFTC, relief from preparing an audited statement

☐ Neither of the above

Certain other questions may appear depending on the information previously provided to NFA regarding the structure of the pool:


Does this umbrella statement include financial statements for each of the NFA listed series pools? ☐ Yes ☐ No

or

Does the annual report contain consolidated financial statements for a Registered Investment Company and wholly-owned subsidiary pursuant to CFTC No-Action Letter 13-51? ☐ Yes ☒ No

Pool Financial Balances:

NFA added one additional Pool Financial Balance, Line 5:

| | | |
|--|---|-----------------------------------|
|  5. | Redemptions receivable from other funds | <input type="text" value="0052"/> |
| | | <input type="text" value="0"/> |
| <div>Report any amounts owed to the pool by any other funds, including other funds operated by the CPO</div> | | |