Instructions on how to identify a pool as a wholly-owned subsidiary of a parent pool

1. Visit the Annual Questionnaire system: http://www.nfa.futures.org/NFA-electronic-filings/annual-questionnaire.HTML. Click on "Annual Questionnaire" at the bottom of the screen. Log on by entering your ORS ID and password.

2. Select "CPO Questionnaire" under the "Questionnaire Type" to access the individual pool questionnaire.

National Futures Association
Questionnaire System

NFA
NATIONAL
FUTURES
ASSOCIATION

Questionnaire Index

» Logout

Get Adobe Reader

The Questionnaire and AML
Procedures system utilizes Adobe
Acrobat for viewing help and filing
print capabilities. If you do not
have Adobe Reader, please
download it.

Questionnaire Instructions
When completing your questionnaire ensure that you complete each of the questionnaires listed below. Upon completing and submitting each questionnaire, the filing status will indicate "Complete". Any subsequent updates made throughout the year will reflect an "Updated" status and will reflect the date of the last update.

Click the Questionnaire Type in the list below to edit or view.

TEST FIRM   **NFA ID:** 0328321

To update current information, click on the Questionnaire Type.

Questionnaire Type	Last Update Date	Filing Status
CPO Questionnaire	Not Updated	Incomplete

Click here to see a list of the entities that have exemptions that must be reaffirmed each year.

3. Update the preparer information on the "Preparer Information" screen, if necessary, and then click "Next."

CPO Questionnaire

Filing Index Pool List Submit Filing Printer Friendly Logout
[Place your mouse over a button to see what action that button performs.]

NATIONAL FUTURES ASSOCIATION

Preparer Information

TEST FIRM

NFA ID: 0328321

Statements
» Preparer Information
» Pool List
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Save   Submit Filing   Next >>

⊞ Expand Help ⊟ Collapse Help

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

Preparer's Email Address: gaz1972@yahoo.com

Preparer's Last Name: Gasner2

Preparer's First Name: Lisa

Preparer's Title: M

Preparer's Phone Number: 815-555-0505

Save   Submit Filing   Next >>

4. Before you establish the relationship between a wholly-owned subsidiary and its parent pool, you must first identify the wholly-owned subsidiary as such. From the "Pool List" screen, click on the applicable wholly-owned subsidiary.

5. The "Pool Information" screen will appear where you should identify the pool as a wholly-owned subsidiary by selecting "Yes" to the right of "Pool is a Controlled Foreign Corporation or a trading subsidiary, which is <u>wholly owned</u> by a listed pool" and then click on "Submit Filing." You can then return to the "Pool Index."

6. In order to establish the relationship between the wholly-owned subsidiary and its parent pool, select the "Edit" link for the parent pool.

7. From the "Edit Pool Information" screen, identify the pool as a parent by selecting "Designate this pool as a parent pool and identify its wholly-owned subsidiaries" and click "Next."

8. A list of the pools previously identified as wholly-owned subsidiaries by your firm will appear. Establish the relationship between the parent and the wholly-owned subsidiary by selecting the box to the left of the wholly-owned subsidiary and clicking "Save." If you do not see any pools listed, ensure you have followed the directions in step 4 above.