



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.




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Registration | Compliance | Electronic Filings | Investor Information | Arbitration / Mediation | Regulation | Broker / Firm Information (BASIC)

News Center | Swaps Information | Information for DCMs and SEFs | NFA Manual | File a Complaint | Careers at NFA

Home > Electronic Filings > **Annual Questionnaire** 

Electronic Filings

Online Registration System (ORS)
Annual Questionnaire
AML Procedures System
WinJammer™ Online Filing System
EasyFile (1-FR-IB Filers)
EasyFile (Pool Filers)
EasyFile (CTA Filers)
EasyFile (FOREX Filers)
EasyFile Registration Documentation Submission System (RDSS)
EasyFile AP Statutory Disqualification Form Submission
Electronic Disclosure Document Filing System
Promotional Material Pre-Review and Pre-Approval
Exemptions
Complaints
BASIC Case Entry (BASICDE)
FAQs

Annual Questionnaire

Futures Commission Merchant, Retail Foreign Exchange Dealer, Introducing Broker, Commodity Pool Operator, and Commodity Trading Advisor Members must complete an Annual Questionnaire as part of NFA's Membership application process. All NFA Members including Swap Dealer and Major Swap Participant Members must complete an Annual Questionnaire as part of the NFA Membership renewal process. The questionnaire provides NFA with information about your firm and allows NFA to better understand the composition of its membership. Member firms are encouraged to update their questionnaire data on a regular basis, but must, at a minimum, complete the Annual Questionnaire on the anniversary of their NFA Membership date. **Specifically, if you commence or change operations, you should update your questionnaire, as applicable.**

Please note that the Annual Questionnaire 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.

System Requirements
This system requires a currently supported version of Microsoft Internet Explorer or Firefox. The highest Internet Explorer (IE) custom security level you may use for this system is Medium-High. NFA recommends keeping browser levels and maintenance current as an overall best practice. Access to confidential data in this system is secured using 128 bit Secure Sockets Layer (SSL). This system also requires cookies and Scripting of Java Applets to be enabled. Contact your network administrator or visit the websites listed below to determine if your system can support these requirements.


Internet Explorer updates are available at:
<http://www.microsoft.com/windows/ie>

Firefox updates are available at:
<http://www.mozilla.com/en-US/>

If you have any questions, NFA's Information Center is available Monday through Friday from 8:00 a.m. to 5:00 p.m. CST to answer your questions. Call (312) 781-1410 or toll-free at (800) 621-3570. You may also email inquiries to information@nfa.futures.org.


Log on to the Annual Questionnaire
[Annual Questionnaire](#)

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



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» Logout



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.

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Questionnaire System

Questionnaire Index

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."



Statements

- » Preparer Information
- » Pool List
- » Logout



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.

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

Preparer Information

TEST FIRMNFA ID: 0328321

SaveSubmit FilingNext >>

Expand HelpCollapse Help

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

Preparer's Email Address:

Preparer's Last Name:


Preparer's First Name:

Preparer's Title:


Preparer's Phone Number:

SaveSubmit FilingNext >>

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.



Logout



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CPO Questionnaire

[Filing Index](#) [Submit Filing](#) [Printer Friendly](#) [Logout](#)

[Place your mouse over a button to see what action that button performs.]

Pool List

NFA's records indicate your firm currently operates the pools listed below. This list specifically excludes any pool(s) for which the CPO has filed any one of the following exemption notices: 4.13(a)(3) and 4.5 exemptions. Pools that operate pursuant to these exemptions should not be added to the list.

Clicking on the pool name will take you to the questionnaire; Clicking on edit will allow you to delete a fund, change its name or identify it as a [series](#) or [umbrella](#) or link a CFC to a RIC (See Notice to Member [1-13-36](#) regarding RICs) or [parent pool](#).

* This pool is a [parent pool](#). Click on the asterisk (*) next to the pool's name to view /hide its [wholly-owned subsidiaries](#).

TEST FIRM

NFA ID: 0328321

[<< Previous](#) [Submit Filing](#)

Pool Name	Pool ID	Status	Edit Pool
TESTPOOL	P109659		Edit
PARENTPOOL	P109660		Edit
1			

If a Pool your firm operates is missing from the above list or you want to add a new Pool click [here](#) to add the Pool. Please note that Pools that have a 4.13 or 4.5 exemption will not appear in the list and do not require a questionnaire to be completed.

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 wholly owned by a listed pool" and then click on "Submit Filing." You can then return to the "Pool Index."

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CPO Questionnaire

Filing Index Pool List Submit Filing Printer Friendly Logout

[Place your mouse over a button to see what action that button performs.]

Pool Information

TESTPOOL NFA ID: P109659

Statements


- » Preparer Information
- » Pool List
- » Logout

Save Submit Filing


Does the pool solicit for or accept non-QEP accounts? ☐ Yes ☐ No

Pool is a Controlled Foreign Corporation or a trading subsidiary, which is wholly owned by a listed pool ☒ Yes ☐ No

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



Logout



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CPO Questionnaire

[Filing Index](#) [Submit Filing](#) [Printer Friendly](#) [Logout](#)

[Place your mouse over a button to see what action that button performs.]

Pool List

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* This pool is a [parent pool](#). Click on the asterisk (*) next to the pool's name to view /hide its [wholly-owned subsidiaries](#).

TEST FIRMNFA ID: 0328321

[<< Previous](#)[Submit Filing](#)

Pool Name	Pool ID	Status	Edit Pool
TESTPOOL	P109659		Edit
PARENTPOOL	P109660		Edit
1			

If a Pool your firm operates is missing from the above list or you want to add a new Pool click [here](#) to add the Pool. Please note that Pools that have a 4.13 or 4.5 exemption will not appear in the list and do not require a questionnaire to be completed.

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."

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Questionnaire System

Edit Pool Information

PARENTPOOL **NFA ID: P109660**

Please select what you wish to edit about your pool

- ☐ Edit the name of this pool
- ☐ Delete this pool
- ☐ Designate this pool as an [umbrella](#) and identify its [series](#)
- ☐ Designate this pool as a [series](#) of an [umbrella](#)
- ☒ Designate this pool as a [parent pool](#) and identify its [wholly-owned subsidiaries](#)

Next **Cancel**

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.

PARENTPOOL **NFA ID: P109660**

Select From Existing Pools.

<input checked="" type="checkbox"/>	(P109659) TESTPOOL
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Save **Cancel**