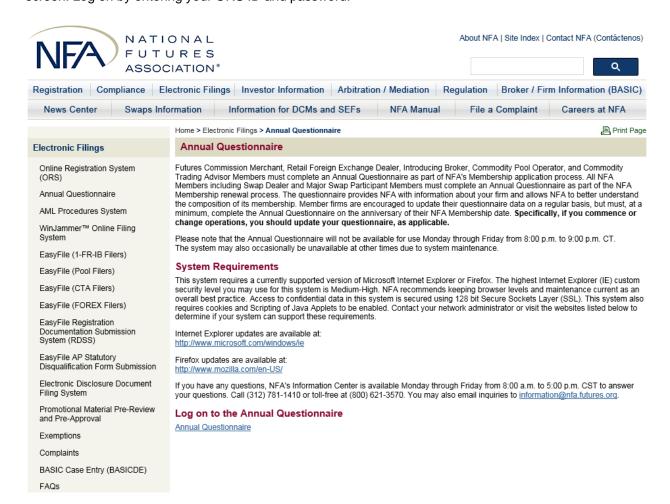
Instructions on how to identify a pool as a wholly-owned subsidiary of a parent pool

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

Questionnaire Index

) Logout



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.

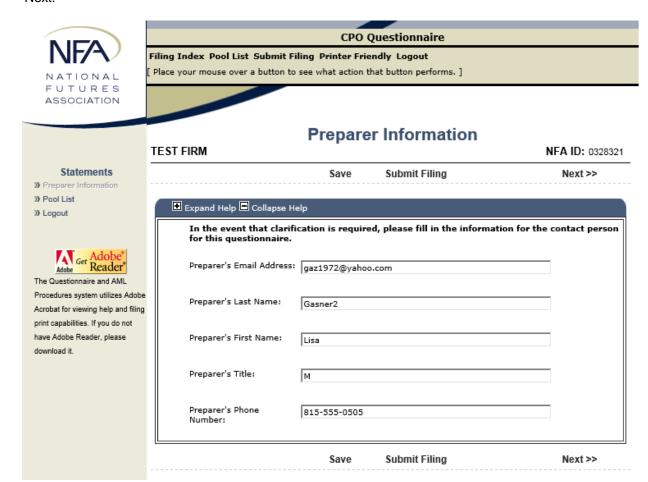
TEST FIRM NFA ID: 0328321

To update current information, click on the Questionnaire Type.

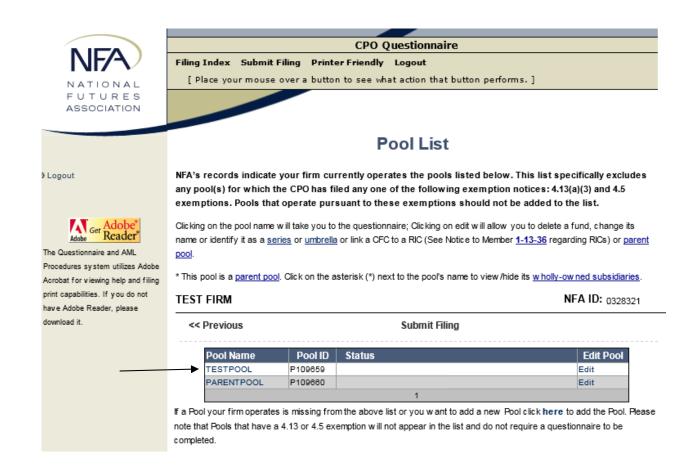
Questionnaire Type	Last Update Date	Filing Status
CPO Questionnaire	Not Updated	Incomplete

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

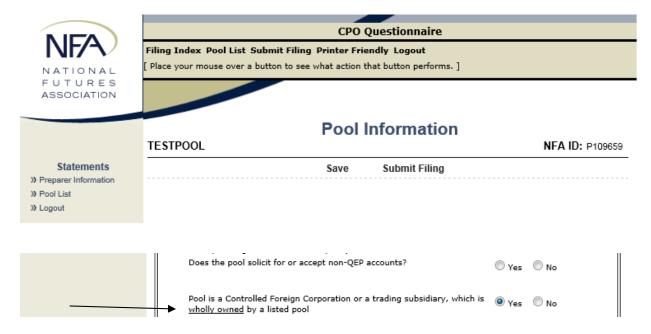
3. Update the preparer information on the "Preparer Information" screen, if necessary, and then click "Next."



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.

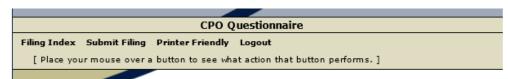


5. The "Pool Information" screen will appear where you should identify the pool as a wholly-owned subsidiary by selecting "Yes" to the right of "Pool is a Controlled Foreign Corporation or a trading subsidiary, which is wholly.owned by a listed pool" and then click on "Submit Filing." You can then return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





Logout



The Questionnaire and AML
Procedures system utilizes Adobe
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have Adobe Reader, please
download it.

<< Previous

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 <u>series</u> or <u>umbrella</u> or link a CFC to a RIC (See Notice to Member <u>1-13-36</u> regarding RICs) or <u>parent pool</u>.

* This pool is a parent pool. Click on the asterisk (*) next to the pool's name to view /hide its w holly-ow ned subsidiaries.

TEST FIRM NFA ID: 0328321

Submit Filing

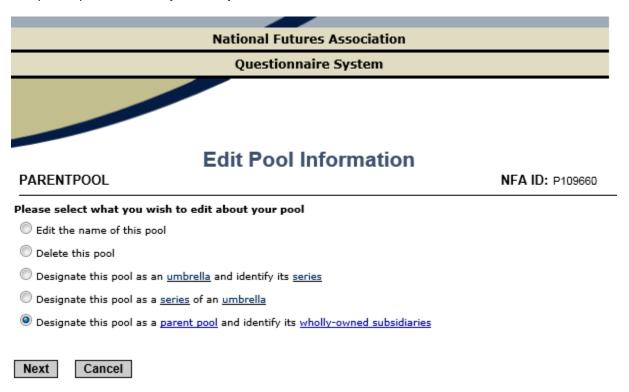
 Pool Name
 Pool ID
 Status
 Edit Pool

 TESTPOOL
 P109859
 Edit

 PARENTPOOL
 P109860
 Edit

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."



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.

