



Electronic Disclosure Document Filing System User Guide

The following instructions outline how to file a disclosure document using NFA's Electronic Disclosure Document Filing 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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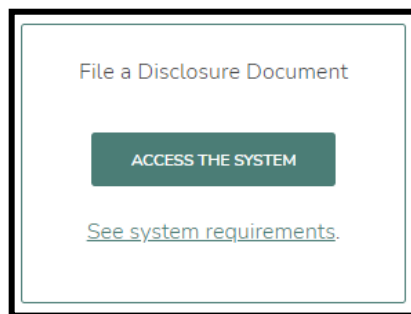
About NFA's Electronic Disclosure Document Filing System (DDOC System)

CPOs and CTAs filing a disclosure document with NFA for review are required to submit their filings through NFA's DDOC System. NFA will not accept any disclosure document filings through any other mode (i.e., email, fax, or regular mail).

Filers are able to track the status of their submissions online, in real-time, and have instantaneous access to NFA's comment and acceptance letters. Additionally, all correspondence, including filed disclosure documents and NFA's comment or acceptance letters, are archived in the DDOC System, creating an electronic file cabinet that can be easily accessed by firm at any time.

Accessing NFA's DDOC System

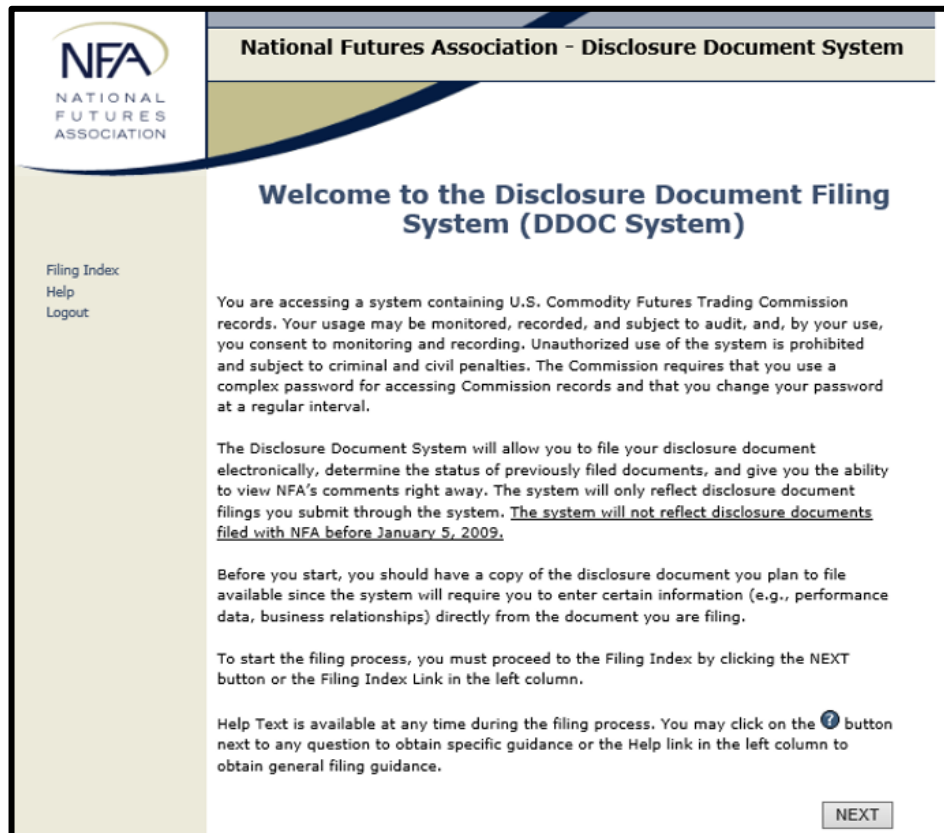
1. Click "Electronic Filing Systems" at the top of any page of [NFA's website](#).
2. Click the plus sign (⁝) by either the CPO or CTA section to see a list of systems for CPOs and CTAs. From this list, click "Electronic Disclosure Document Filing System."
3. Click the  button to log in.



Note: Only NFA Member firms can file a disclosure document.

Due to the confidential nature of a firm's disclosure document, anyone intending to file a disclosure document on behalf of a firm will need to have the appropriate login credentials. This can be done through NFA's Online Registration System, called ORS, which can be accessed through NFA's website. The firm's ORS Security Manager can accomplish this quickly and easily by designating a username and password with disclosure document permissions in ORS. Login credentials need only be created the first time a user intends to use the DDOC System and will remain valid until revoked by the firm's ORS Security Manager. The ORS Security Manager may also give DDOC System access to attorneys or other designees. However, it is important to note that any person who has valid disclosure document login credentials will be able to access NFA's comment or acceptance letters, as well as the document filing itself.

4. Once logged in, you will see the Disclosure Document Filing System Welcome page.



This Welcome page contains general information and instructions for accessing help or proceeding with your filing.

From time to time, NFA may use this page to communicate important announcements to Member firms; for example, rule changes or Notices to Members pertaining to Disclosure Documents may be highlighted here (in addition to NFA's current methods of communicating such information).

"Help" will always appear as a link in the left-hand navigation; you can access detailed instructions at any time while you are logged into the DDOC System simply by clicking this link. You can also access help by clicking on the  button located next to specific lines or questions throughout the screens.

Filing a New Disclosure Document

To file a disclosure document, click **NEXT** on the Welcome page, or click "Filing Index" in the left-hand navigation.

The Filing Index is your default starting point and will serve as your electronic filing cabinet for documents and correspondence with NFA. It is important to note that only disclosure documents filed through this electronic DDOC System will appear in this index. First time filers through the DDOC System may not see any prior filings in the Filing Index even though they may have filed previously filed documents with NFA. Going forward, all of your submissions and correspondence from NFA will be preserved here and you will have access to it at any time.



If your firm has both CPO and CTA registrations, you will notice two tabs at the top of the Filing Index which will distinguish your CTA disclosure document filings from your CPO disclosure document filings. If your firm is registered solely as a CPO or a CTA, you will only see the tab that applies.

Note: This screen will always reflect the current status of your disclosure documents. In this example there have been no disclosure documents submitted.

1. To begin a new filing, click **File Pool Disclosure Document** or **File CTA Disclosure Document** at the top or bottom of the appropriate tab.

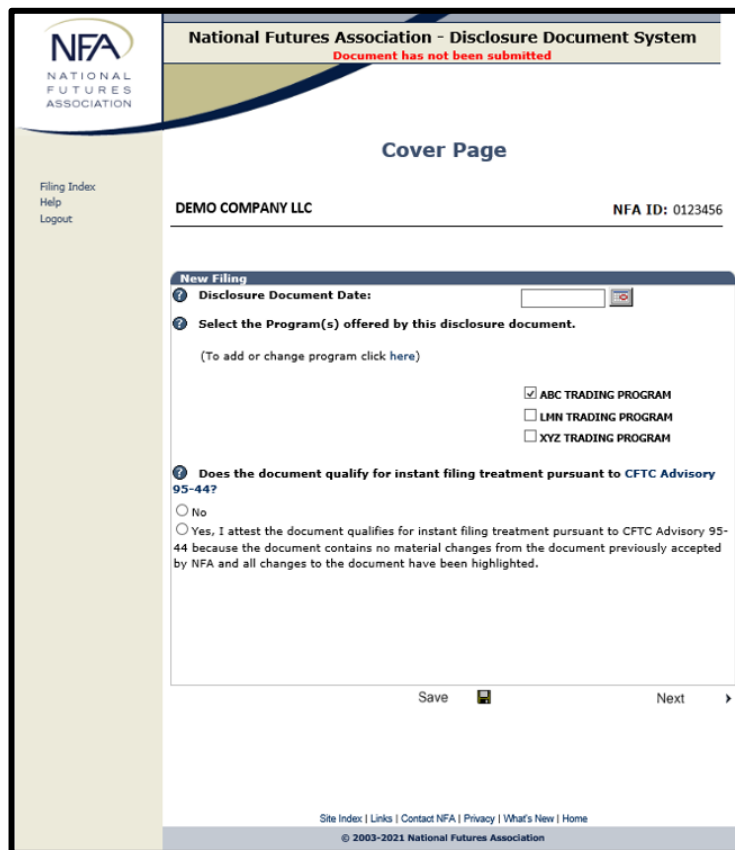
Although the screens displayed in this Guide mostly illustrate the process of filing a CTA disclosure document, the process is virtually identical for filing a CPO disclosure document.



2. Filing through the DDOC System will require that you enter certain key information from the disclosure document you are filing. It is recommended that you have a copy of the document handy before you begin the filing process. On the Cover Page, indicate the date of the document and identify the program or programs offered in it.

Cover Page

The Cover Page section requires the below information to be provided regarding the disclosure document.



The screenshot shows the 'Cover Page' of the 'National Futures Association - Disclosure Document System'. At the top, a red banner states 'Document has not been submitted'. The page title is 'Cover Page'. On the left, there is a sidebar with links: 'Filing Index', 'Help', and 'Logout'. The main content area displays 'DEMO COMPANY LLC' and 'NFA ID: 0123456'. Below this is a 'New Filing' section with the following fields:

- 1 Disclosure Document Date:** A text input field with a calendar icon.
- 2 Select the Program(s) offered by this disclosure document.** (To add or change program click here)
 - ☒ ABC TRADING PROGRAM
 - ☐ LMN TRADING PROGRAM
 - ☐ XYZ TRADING PROGRAM
- 3 Does the document qualify for instant filing treatment pursuant to CFTC Advisory 95-44?**
 - ☐ No
 - ☐ Yes, I attest the document qualifies for instant filing treatment pursuant to CFTC Advisory 95-44 because the document contains no material changes from the document previously accepted by NFA and all changes to the document have been highlighted.

At the bottom of the form are 'Save' and 'Next' buttons. The footer contains links: 'Site Index | Links | Contact NFA | Privacy | What's New | Home' and copyright information: '© 2003-2021 National Futures Association'.

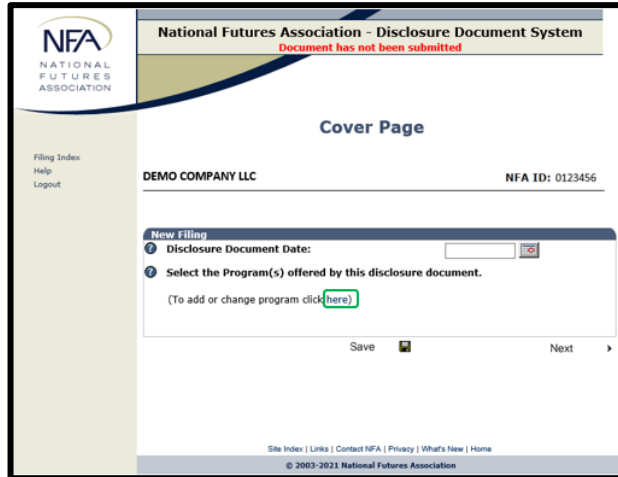
For CTAs, the DDOC System will require that you give each offered CTA trading program a discrete name (e.g., "S&P Program," "Beta Program") so NFA may track performance information and other data. See [How to Add a New CTA Program to the DDOC System](#) for details.

If you have a previously accepted disclosure document on file for the offered program(s) and meet the other requirements set forth in [CFTC Advisory 95-44](#), you can request instant filing treatment for the disclosure document. A document that qualifies for instant filing treatment will receive an expedited review. However, the firm will need to attest that the disclosure document qualifies.

Once you have entered the requested information, save the data by clicking on the **Save**  or the **Next**  buttons at the bottom of the screen. This will bring you to the Contact Information page.

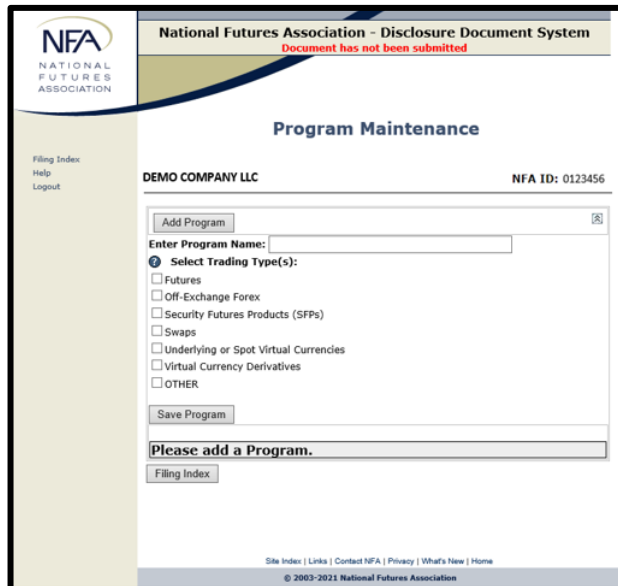
How to Add a New CTA Program

1. Enter the trading program by clicking on the link under "**Select the Program(s) offered by this disclosure document**" (see the green box below). Ensure the name entered is consistent with the name(s) of the offered programs in the disclosure document.



The screenshot shows the 'Cover Page' of the National Futures Association - Disclosure Document System. The page header includes the NFA logo and the text 'National Futures Association - Disclosure Document System' with a red warning 'Document has not been submitted'. The user is logged in as 'DEMO COMPANY LLC' with 'NFA ID: 0123456'. The page title is 'Cover Page'. On the left sidebar, there are links for 'Filing Index', 'Help', and 'Logout'. The main content area has a 'New Filing' section with a 'Disclosure Document Date' field and a 'Select the Program(s) offered by this disclosure document.' instruction. A green box highlights a link labeled '(here)' with the text '(To add or change program click (here))'. Below this are 'Save' and 'Next' buttons. The footer contains links for 'Site Index', 'Links', 'Contact NFA', 'Privacy', 'What's New', and 'Home', along with the copyright notice '© 2003-2021 National Futures Association'.

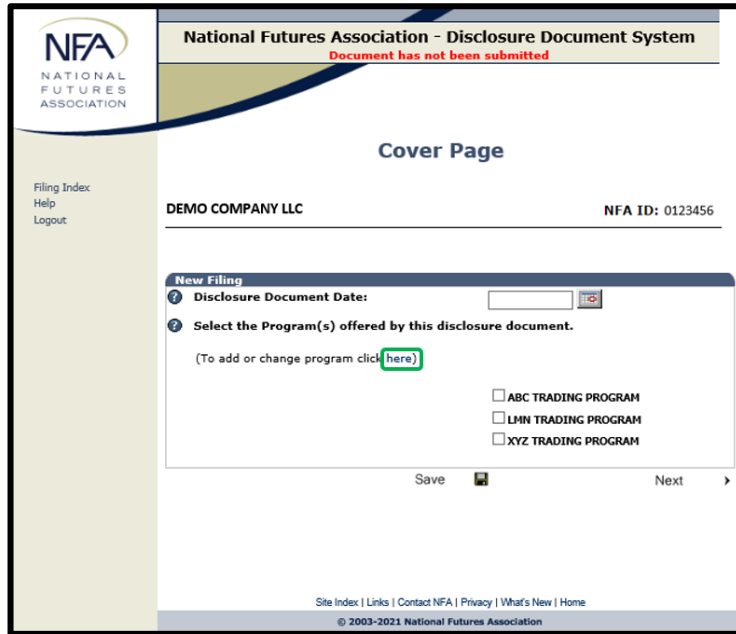
2. The Program Maintenance Page requires you to indicate the general types of products traded by the program by clicking the appropriate investment sectors/products (futures, off-exchange forex, underlying or spot virtual currencies, etc.). You will always have the ability to update this information if the program changes. See [How to Update an Existing CTA Program](#) for details.



The screenshot shows the 'Program Maintenance' page of the National Futures Association - Disclosure Document System. The page header is identical to the previous screenshot. The user is logged in as 'DEMO COMPANY LLC' with 'NFA ID: 0123456'. The page title is 'Program Maintenance'. The left sidebar remains the same. The main content area features an 'Add Program' button at the top. Below it is a text field for 'Enter Program Name:'. A section titled 'Select Trading Type(s):' contains several checkboxes: 'Futures', 'Off-Exchange Forex', 'Security Futures Products (SFPs)', 'Swaps', 'Underlying or Spot Virtual Currencies', 'Virtual Currency Derivatives', and 'OTHER'. Below these checkboxes is a 'Save Program' button. A message box states 'Please add a Program.' with a 'Filing Index' button below it. The footer is identical to the previous screenshot.

How to Update an Existing CTA Program

1. To edit a program name, enter a program cease date, edit products traded by the program, or delete a program, click on the link under **"Select the Program(s) offered by this disclosure document"** (see the green box below).



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National Futures Association - Disclosure Document System
Document has not been submitted

Cover Page

DEMO COMPANY LLC NFA ID: 0123456

New Filing

1 Disclosure Document Date:

2 Select the Program(s) offered by this disclosure document.
(To add or change program click [here](#))

☐ ABC TRADING PROGRAM
☐ LMN TRADING PROGRAM
☐ XYZ TRADING PROGRAM

Save  Next >

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2. The Program Maintenance Page enables you to edit information about your listed programs and to add new programs.



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Program Maintenance

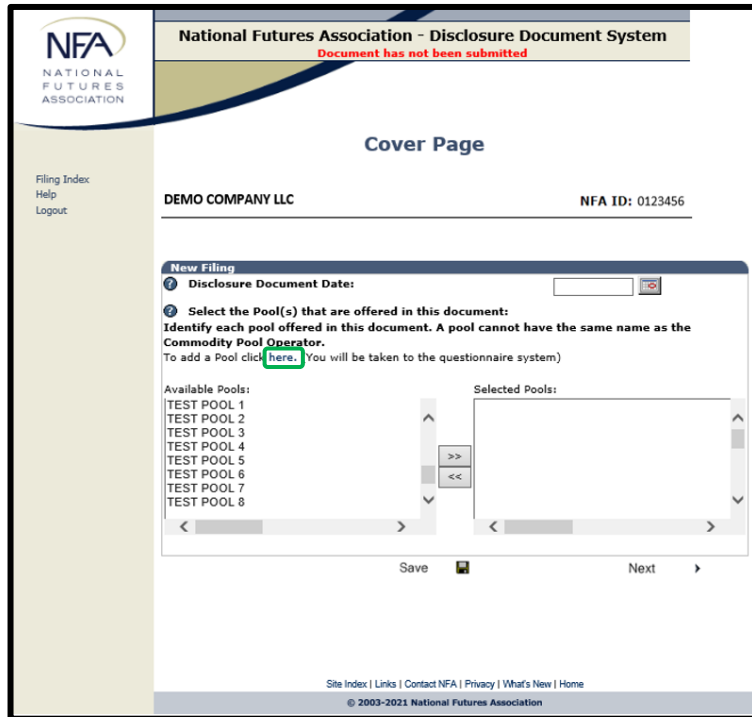
DEMO COMPANY LLC NFA ID: 0123456

Program	Ceased Trading	Trading Type	Action
ABC TRADING PROGRAM		Futures, Swaps	Edit Delete
LMN TRADING PROGRAM		Virtual Currency Derivatives	Edit Delete
XYZ TRADING PROGRAM		Off-Exchange Forex	Edit Delete

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How to Add a New Pool

1. Enter a new pool by clicking on the link under "**Select the Pool(s) that are offered in this document**" (see the green box below). Clicking this link will take you to the Annual Questionnaire System where a pool can be added. See the CPO – Pool List section of the Appendix in the [Annual Questionnaire User Guide](#) to learn how to add a pool in the system.



The screenshot shows the NFA National Futures Association logo and the title "National Futures Association - Disclosure Document System". A red banner at the top states "Document has not been submitted". The page is titled "Cover Page" and displays "DEMO COMPANY LLC" and "NFA ID: 0123456". On the left sidebar, there are links for "Filing Index", "Help", and "Logout". The main content area features a "New Filing" section with a "Disclosure Document Date" field. Below this, a green box highlights the text "Select the Pool(s) that are offered in this document: Identify each pool offered in this document. A pool cannot have the same name as the Commodity Pool Operator. To add a Pool click [here](#). (You will be taken to the questionnaire system)". This is followed by two boxes: "Available Pools:" containing a list of "TEST POOL 1" through "TEST POOL 8", and "Selected Pools:" which is currently empty. Navigation arrows (>> and <<) are positioned between the two boxes. At the bottom of the form are "Save" and "Next" buttons. The footer includes a site index, links, and copyright information for 2003-2021 National Futures Association.

2. After the pool has been added through the Annual Questionnaire System, it will appear in the **Available Pools** box. Select the applicable pool(s) and click  to transfer the pool to the **Selected Pools** box.

Note: If the disclosure document is offering investments in pools that are Series, ensure the Umbrella is also added as a Selected Pool. Series pools are set up under an Umbrella pool and are structured with a limitation on liability among the different series; series pools are **not** separate legal entities.



Electronic Disclosure Document Filing System User Guide

Contact Information Page

On the Contact Information page you will provide contact information for the person who will receive all correspondence from NFA pertaining to the filing. You will be asked to complete this screen for every new filing so NFA has accurate contact information.

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National Futures Association - Disclosure Document System
Document has not been submitted

Contact Information

All correspondence regarding this document (comment letters, acceptance letters) will be directed to the contact person listed on this page.

DEMO COMPANY LLC
ABC TRADING PROGRAM

NFA ID: 0123456

Cover Page
Who should be contacted regarding this disclosure document?

* First Name:
* Last Name:
Firm Name:
* Address:
Address 2:
Address 3:
* City:
* State:
Province:
* Country:
* Zip:
* Primary Phone:
Secondary Phone:
* Email:
* Verify Email:

☒ Will this document be used to solicit only QEPs?:
☐ Yes
☒ No

* Required Fields

< Previous Save Next >

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QEP Only Disclosure Documents

If the firm is filing a CTA disclosure document and the firm is a 4.7 exempt CTA, then at the bottom of the Contact Information page you will be asked whether this disclosure document will only be used to solicit Qualified Eligible Persons (QEPs).

Note: 4.7 exempt CTAs are required to submit disclosure documents if they intend to solicit non-QEPs.



Electronic Disclosure Document Filing System User Guide

Relationships Pages

The next series of screens require that you indicate any business relationships you have with other NFA Member firms, as it pertains to the program(s) offered in the disclosure document you are filing.

The most frequent example of such a relationship is an FCM or IB that you require your customers to clear through. But this is just one example. You should indicate all relationships you have with an FCM or IB for the offered program.

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Document has not been submitted

Identifying Relationships

DEMO COMPANY LLC
ABC TRADING PROGRAM

NFA ID: 0123456

Filing Index
» Cover Page
» Contact Information
» Relationships
» FCMs and RFEDs
» Swap Dealer
» IB
» Performance
» Attachments
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Help
Logout

In this section, you should disclose any business relationships (e.g., fee sharing arrangements) or affiliations the firm and any of its principals have with other NFA Members that provide services (either directly or indirectly) to the firm, or the pool, or the offered trading program. You will be able to select from a list of NFA Members. Below are some examples of the most common relationships that you should identify:

1. If the offered program or pool requires or recommends a specific FCM and/or IB, you should identify that FCM and/or IB.
2. If the pool invests in investee pools, you should identify the pools and the percent of assets allocated
3. If the pool is a multi-advisor pool, you should identify the CTAs and the percent of assets allocated
4. If the pool uses a Trading Manager to allocate its assets to other CTAs or investee pools, you should identify the Trading Manager.

You must indicate if a relationship exists for each of the four relationship categories listed in the column on the left. If a relationship does not exist for a particular category, you must check the box indicating there are no relationships for that category before you can proceed with the filing.

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Electronic Disclosure Document Filing System User Guide

CTAs, Investee Pools, and Trading Managers for Pool Disclosure Documents

Pool disclosure document filings will also be required to disclose the pool's relationships with CTAs, investee pools, and trading managers. You must indicate if a relationship exists for each of these relationship categories.

If the pool(s) have any relationships in these categories, you must indicate the name of each entity and the approximate percentage of funds that are allocated to each entity.

If a relationship does **not** exist for a particular category, you must check the box indicating there are no relationships for that category before you can proceed with the filing.

The screenshot shows the NFA Disclosure Document System interface. The header includes the NFA logo and the text 'National Futures Association - Disclosure Document System' with a red warning 'Document has not been submitted'. The main title is 'Disclose Relationships with CTAs'. The user is logged in as 'DEMO COMPANY LLC' with 'NFA ID: 0123456' and is editing 'TEST POOL 1'. A sidebar on the left contains a 'Filing Index' with links to various document sections. The main content area prompts the user to 'Please disclose any CTA relationships associated with the offered pool(s)'. It includes a checkbox to 'Check here if there are no CTA relationships.' and an '- OR -' separator. Below this, it asks to 'Enter the name of any CTA who provides services to the offered pool(s)'. There are input fields for 'Name' and 'Percentage allocated to trade', with a 'Save' button. A checkbox allows for relationships with entities not in the list. A table displays the current relationship: 'test' with ID '0987654' and '50%' allocation. The 'Action' column for this entry has a 'Delete' button highlighted with a green box. Navigation links for 'Previous' and 'Next' are at the bottom, along with a footer containing site index, contact information, and copyright notice for 2003-2021.

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Document has not been submitted

Disclose Relationships with CTAs

DEMO COMPANY LLC NFA ID: 0123456
TEST POOL 1

Please disclose any CTA relationships associated with the offered pool(s).

☐ Check here if there are no CTA relationships.

- OR -

Enter the name of any CTA who provides services to the offered pool(s).

Name:

Percentage allocated to trade: Save

☐ Check here if the Firm has a relationship with an entity not included in the list.

Name	ID	Percentage	Action
test	0987654	50%	Delete

< Previous Next >

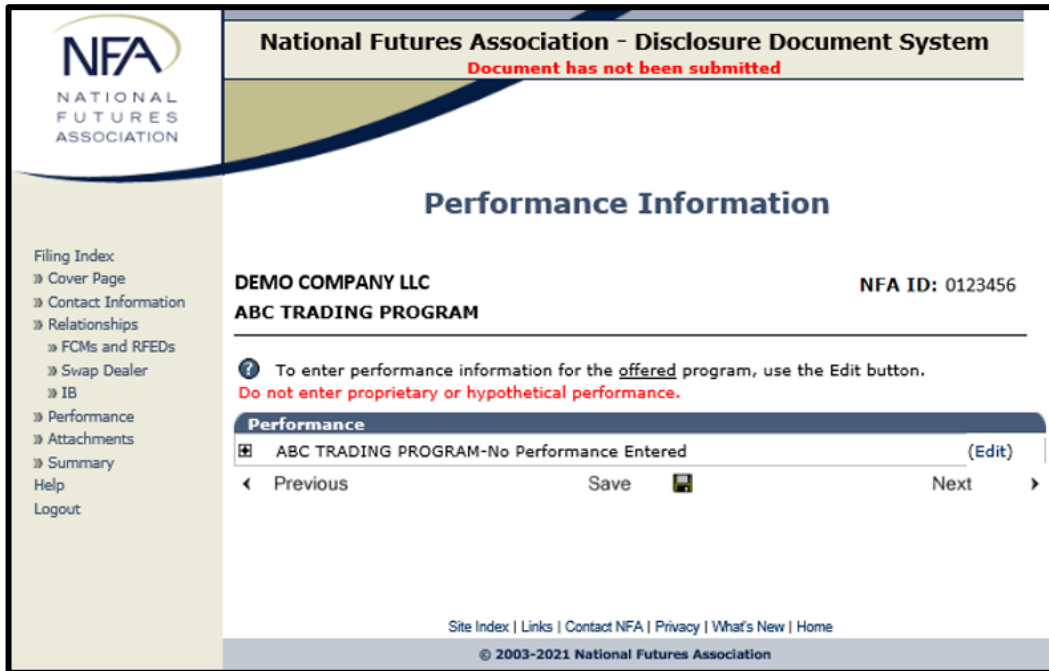
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To edit the percentage allocation of an existing relationship, you must "Delete" the entity and re-add it.

Performance Information Page

Next, you must provide information about the performance of the offered trading program(s).

Note: Do not add proprietary or hypothetical performance.



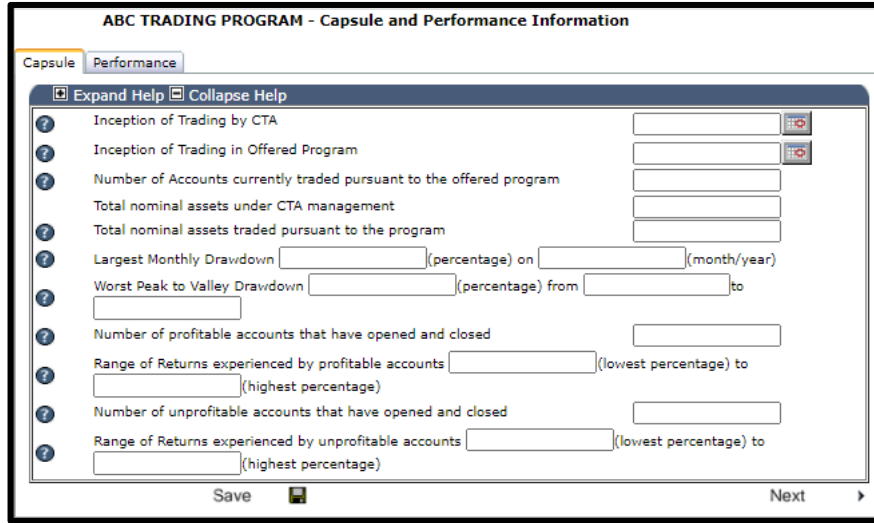
The screenshot shows the 'Performance Information' page in the NFA Electronic Disclosure Document Filing System. The page header includes the NFA logo and the text 'National Futures Association - Disclosure Document System' with a red warning: 'Document has not been submitted'. The main heading is 'Performance Information'. Below this, the user is logged in as 'DEMO COMPANY LLC' with 'NFA ID: 0123456'. The trading program is 'ABC TRADING PROGRAM'. A message states: 'To enter performance information for the offered program, use the Edit button. Do not enter proprietary or hypothetical performance.' Below this is a table with one row: 'ABC TRADING PROGRAM-No Performance Entered' with an '(Edit)' link. Navigation buttons include 'Previous', 'Save', and 'Next'. The footer contains links for 'Site Index', 'Links', 'Contact NFA', 'Privacy', 'What's New', and 'Home', along with the copyright notice '© 2003-2021 National Futures Association'.

If the trading program is new and does not yet have performance information available, you may click on the **Next** button to continue. The system will continue to show "No Performance Entered" for this program.

If there is performance information for the offered program(s), click on **(Edit)** in order to enter the performance capsule information.

Capsule Tab

1. First, you must provide information about the trading program under the **Capsule** tab, just as it appears in your disclosure document. If you are unclear what information is being requested in any of the fields, you can access explanatory help text by clicking  to the left of any line.



ABC TRADING PROGRAM - Capsule and Performance Information

Capsule Performance

Expand Help Collapse Help

? Inception of Trading by CTA

? Inception of Trading in Offered Program

? Number of Accounts currently traded pursuant to the offered program

? Total nominal assets under CTA management

? Total nominal assets traded pursuant to the program

? Largest Monthly Drawdown (percentage) on (month/year)

? Worst Peak to Valley Drawdown (percentage) from to

? Number of profitable accounts that have opened and closed

? Range of Returns experienced by profitable accounts (lowest percentage) to (highest percentage)

? Number of unprofitable accounts that have opened and closed

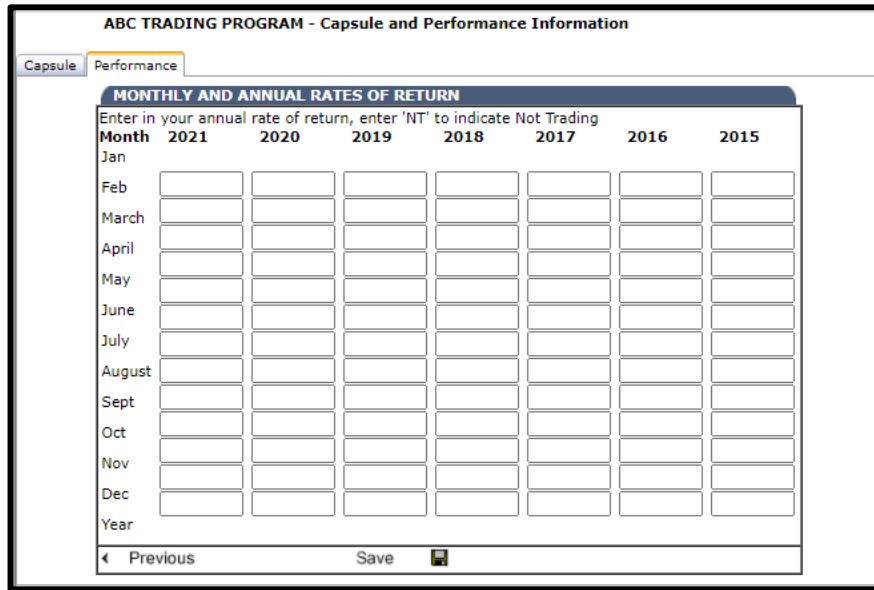
? Range of Returns experienced by unprofitable accounts (lowest percentage) to (highest percentage)

Save Next

2. Once you have entered the requested information, save the data by clicking on the **Save**  or **Next**  buttons at the bottom of the screen. Click **Next**  to proceed to the **Performance** tab.

Performance Tab

1. On the **Performance** tab you must enter performance data information for the offered program.



ABC TRADING PROGRAM - Capsule and Performance Information

Capsule Performance

MONTHLY AND ANNUAL RATES OF RETURN

Enter in your annual rate of return, enter 'NT' to indicate Not Trading

Month	2021	2020	2019	2018	2017	2016	2015
Jan							
Feb							
March							
April							
May							
June							
July							
August							
Sept							
Oct							
Nov							
Dec							
Year							

Previous Save

2. Monthly and annual rates of return should be entered here for the offered program only and should be entered just as they appear in your disclosure document. Required performance data only needs to be entered for the last five calendar years and the current year-to-date, even if the disclosure document includes supplemental performance which is more than five years old.

If the offered program has been trading for less than five years, just enter performance for the months that apply. However, if there was no trading in any month **after** the program started, you will need to indicate those months by entering "NT" for "no trading" into the applicable boxes.



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Attachments Page

This is where you will upload your disclosure document and any other files you want NFA to review. Just browse your computer to attach Word or pdf files, one at a time.

If you're filing a subsequent disclosure document or a revision, remember that pursuant to [NFA Notice I-08-17](#), you're required to include both a "marked" version of the disclosure document which clearly indicates all additions and deletions, and a "clean" copy of the disclosure document in which all your changes are incorporated.

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Document has not been submitted

Attachments

This page allows you to upload the required marked and clean copies of the disclosure document and any other relevant correspondence or supporting information. Attachments should be uploaded and saved separately.

If you have previously filed disclosure documents for this program(s), NFA requires you to submit both a clean and marked copy of the documents. Please see NFA's Notice to Members I-08-17.

DEMO COMPANY LLC **NFA ID: 0123456**
ABC TRADING PROGRAM

Attachments

Select Document to send:

Select Document Type:

Documents Attached

No Attachments included this session

[Previous](#) [Next](#)

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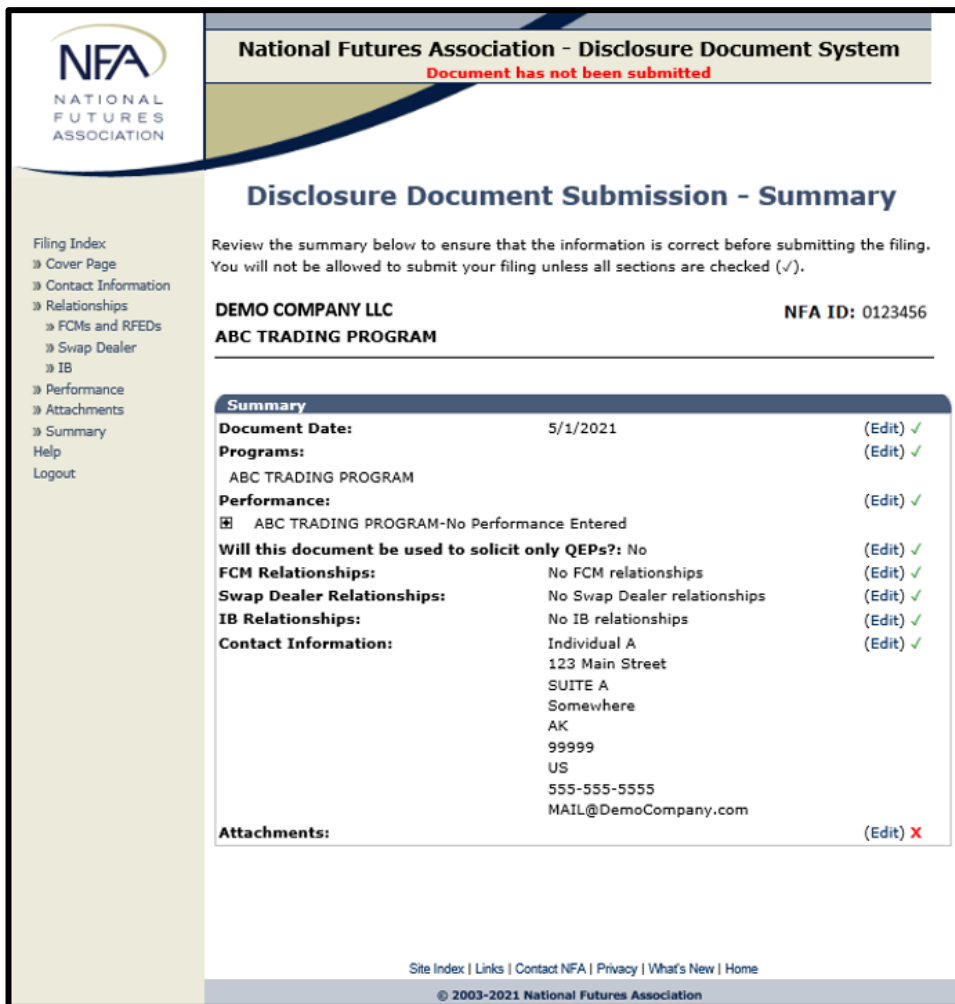
Use the dropdown menu to identify each file that you attach – for example, "DISCLOSURE DOCUMENT – CLEAN" or "COVER PAGE," then click , you'll see a list of documents you've successfully attached. If you accidentally attach the wrong file, you can simply click "Delete" to remove it, and then you can upload another file.



Electronic Disclosure Document Filing System User Guide

Summary Page

The final screen is the Summary page. All sections that you've completed will be identified with a  on the right; any section which has not yet been completed is denoted by a . You will not have the option to submit the disclosure document to NFA until all the sections have been completed. Take this opportunity to briefly review the summary information for accuracy.



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National Futures Association - Disclosure Document System
Document has not been submitted

Disclosure Document Submission - Summary

Review the summary below to ensure that the information is correct before submitting the filing. You will not be allowed to submit your filing unless all sections are checked (✓).

DEMO COMPANY LLC **NFA ID: 0123456**
ABC TRADING PROGRAM

Summary

Document Date:	5/1/2021	(Edit) ✓
Programs:		(Edit) ✓
ABC TRADING PROGRAM		
Performance:		(Edit) ✓
☒ ABC TRADING PROGRAM-No Performance Entered		
Will this document be used to solicit only QEPs?:	No	(Edit) ✓
FCM Relationships:	No FCM relationships	(Edit) ✓
Swap Dealer Relationships:	No Swap Dealer relationships	(Edit) ✓
IB Relationships:	No IB relationships	(Edit) ✓
Contact Information:	Individual A 123 Main Street SUITE A Somewhere AK 99999 US 555-555-5555 MAIL@DemoCompany.com	(Edit) ✓
Attachments:		(Edit) ✗

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If anything needs to be changed, you can simply click [\(Edit\)](#) to navigate directly to that section, or you can use the menu on the left-hand side.



Electronic Disclosure Document Filing System User Guide

Once all sections are complete (designated by ✓), a [Submit To NFA](#) button will appear at the bottom of the screen. Click on this button to complete your filing.



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- » Relationships
 - » FCMs and RFEDs
 - » Swap Dealer
- » IB
- » Performance
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- » Summary
- Help
- Logout

National Futures Association - Disclosure Document System

Document has not been submitted

Disclosure Document Submission - Summary

Review the summary below to ensure that the information is correct before submitting the filing. You will not be allowed to submit your filing unless all sections are checked (✓).

DEMO COMPANY LLC**NFA ID: 0123456**

ABC TRADING PROGRAM

Summary

Document Date: 5/1/2021 (Edit) ✓

Programs: (Edit) ✓
ABC TRADING PROGRAM

Performance: (Edit) ✓
☒ ABC TRADING PROGRAM-No Performance Entered

Will this document be used to solicit only QEPs?: No (Edit) ✓

FCM Relationships: No FCM relationships (Edit) ✓

Swap Dealer Relationships: No Swap Dealer relationships (Edit) ✓

IB Relationships: No IB relationships (Edit) ✓

Contact Information: (Edit) ✓
Individual A
123 Main Street
SUITE A
Somewhere
AK
99999
US
555-555-5555
MAIL@DemoCompany.com

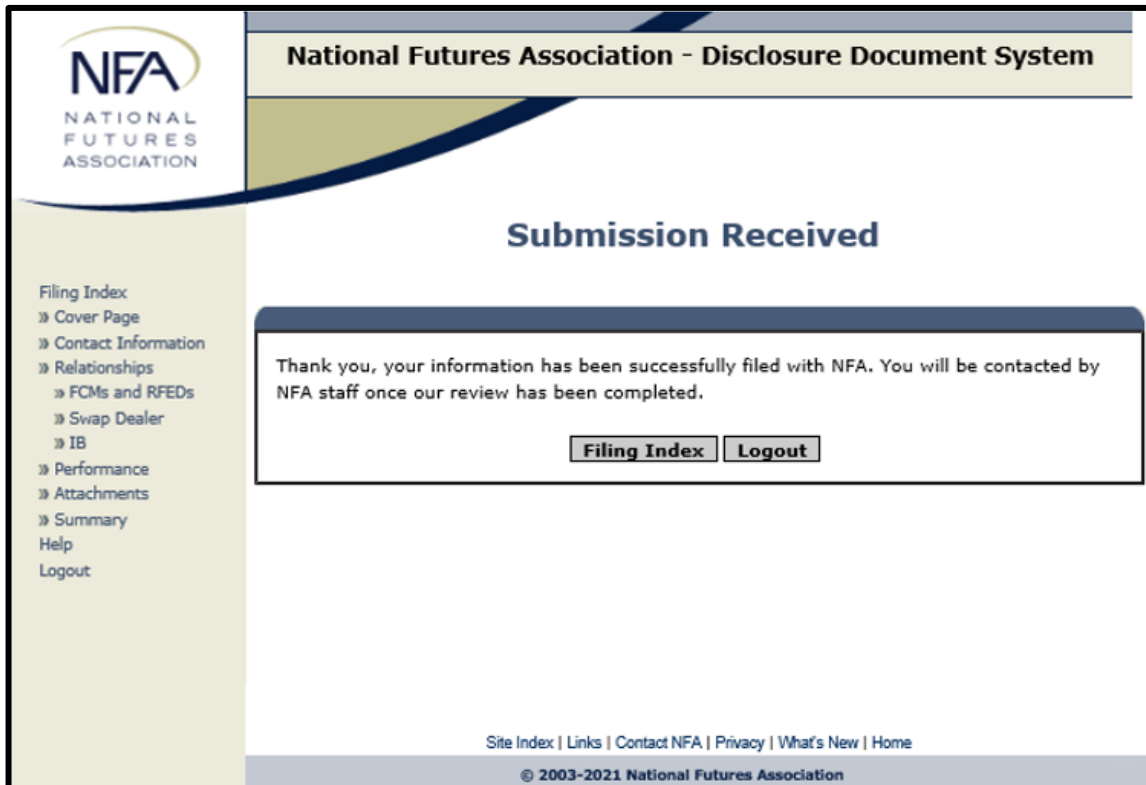
Attachments: (Edit) ✓
ABC Trading - Marked.pdf(DISCLOSURE DOCUMENT - MARKED)
ABC Trading - Clean.pdf(DISCLOSURE DOCUMENT - CLEAN)

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[Site Index](#) | [Links](#) | [Contact NFA](#) | [Privacy](#) | [What's New](#) | [Home](#)

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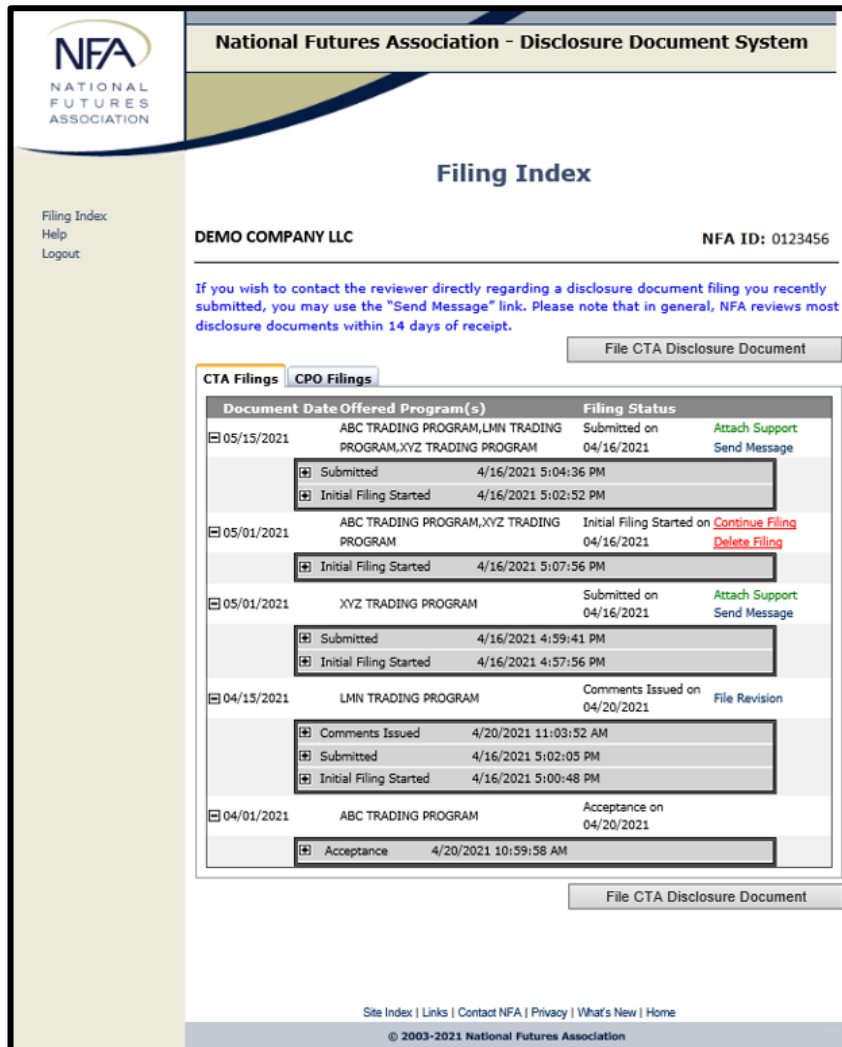
Upon completing the filing process, you will see a confirmation on your screen that the filing has been successfully submitted. Also, the next time you view the Filing Index, you will see the disclosure document you just filed.



NFA will contact the person you designated when our review is completed or if there are any questions during the review process. Although review times may vary depending on the type of the filing, the size of the disclosure document, and the volume of disclosure documents being reviewed at any given time, NFA generally will review your disclosure document within 14 days from the time you submit it. When a comment or acceptance letter is ready, it will automatically be posted in the Filing Index and an email will be sent to the contact person for the filing informing them the letter is now available in the DDOC System.

Filing a Revision and Responding to Comments

After you have filed a disclosure document through the DDOC System, it will appear in the Filing Index. Here is an example of a Filing Index with several disclosure documents in different review stages. All disclosure documents will have a current filing status.



National Futures Association - Disclosure Document System

Filing Index

DEMO COMPANY LLC NFA ID: 0123456

If you wish to contact the reviewer directly regarding a disclosure document filing you recently submitted, you may use the "Send Message" link. Please note that in general, NFA reviews most disclosure documents within 14 days of receipt.

File CTA Disclosure Document

CTA Filings CPO Filings

Document Date	Offered Program(s)	Filing Status
05/15/2021	ABC TRADING PROGRAM, LMN TRADING PROGRAM, XYZ TRADING PROGRAM	Submitted on 04/16/2021 Attach Support Send Message
	Submitted 4/16/2021 5:04:36 PM	
	Initial Filing Started 4/16/2021 5:02:52 PM	
05/01/2021	ABC TRADING PROGRAM, XYZ TRADING PROGRAM	Initial Filing Started on 04/16/2021 Continue Filing Delete Filing
	Initial Filing Started 4/16/2021 5:07:56 PM	
05/01/2021	XYZ TRADING PROGRAM	Submitted on 04/16/2021 Attach Support Send Message
	Submitted 4/16/2021 4:59:41 PM	
	Initial Filing Started 4/16/2021 4:57:56 PM	
04/15/2021	LMN TRADING PROGRAM	Comments Issued on 04/20/2021 File Revision
	Comments Issued 4/20/2021 11:03:52 AM	
	Submitted 4/16/2021 5:02:05 PM	
	Initial Filing Started 4/16/2021 5:00:48 PM	
04/01/2021	ABC TRADING PROGRAM	Acceptance on 04/20/2021
	Acceptance 4/20/2021 10:59:58 AM	

File CTA Disclosure Document

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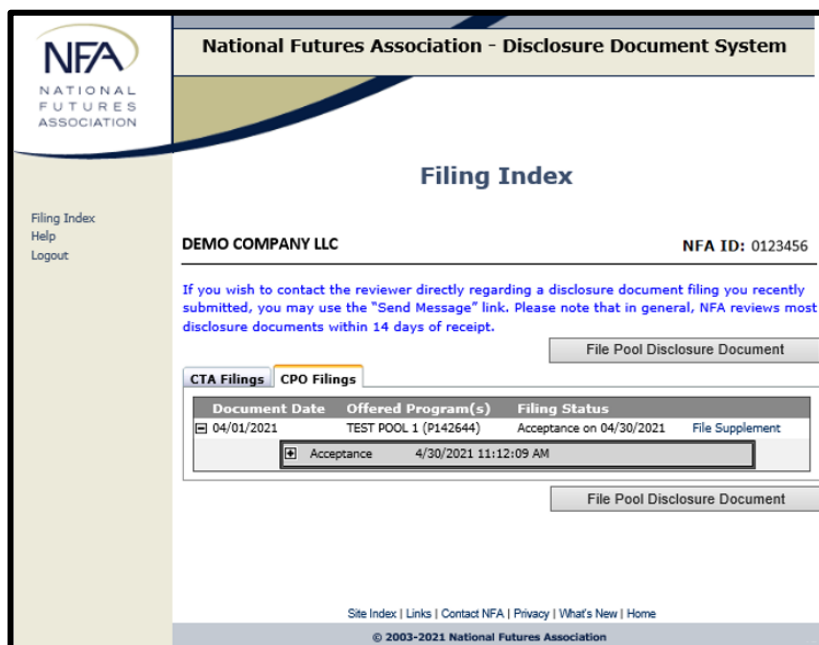
The system will display the disclosure documents with the most recent document date first.

- The first disclosure document is dated May 15, 2021, which has been submitted and is currently under review. Here the filer can click "[Send Message](#)" to the reviewer or click "[Attach Support](#)" to attach additional support for the filing.

- The second disclosure document is dated May 1, 2021, but the filing process has not been completed as indicated by the "[Continue Filing](#)" message. You may resume the submission process by clicking on "[Continue Filing](#)." The DDOC System will then take you to the Summary page where you can see what's left to be completed.
- A comment letter was issued for the fourth disclosure document in this list. Now, the filer will have the option to submit a revision for that Document by clicking "[File Revision](#)." Again, the DDOC System will take you to the Summary page. From this page, you can enter new information about the disclosure document, revise information previously provided to NFA, and upload the revised filing.
- The final submission, dated April 1, 2021, is a disclosure document that was accepted. Once a CTA disclosure document has been accepted, the filer can't make any changes to this disclosure document.

How to File a Supplement for a Pool Disclosure Document

Once a pool disclosure document has been accepted, you may click "[File Supplement](#)", which serves as an addendum/add-on to the accepted pool disclosure document. Supplements must be provided with the accepted disclosure document and are **not** stand-alone disclosure documents.



The screenshot shows the "Filing Index" page for "DEMO COMPANY LLC" with NFA ID: 0123456. The page includes a sidebar with links for "Filing Index", "Help", and "Logout". A message states: "If you wish to contact the reviewer directly regarding a disclosure document filing you recently submitted, you may use the 'Send Message' link. Please note that in general, NFA reviews most disclosure documents within 14 days of receipt." There are two "File Pool Disclosure Document" buttons. A table shows the filing status for "TEST POOL 1 (P142644)" with a document date of 04/01/2021 and a filing status of "Acceptance on 04/30/2021". A detailed view shows the acceptance date as 4/30/2021 11:12:09 AM. The footer includes links for "Site Index", "Links", "Contact NFA", "Privacy", "What's New", and "Home", along with the copyright notice "© 2003-2021 National Futures Association".

Document Date	Offered Program(s)	Filing Status
04/01/2021	TEST POOL 1 (P142644)	Acceptance on 04/30/2021 File Supplement

Acceptance	4/30/2021 11:12:09 AM
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