



Annual Questionnaire User Guide

Annual Questionnaire Overview

The Annual Questionnaire (Questionnaire) must be completed by futures commission merchants (FCM), retail foreign exchange dealers (RFED), introducing brokers (IB), commodity pool operators (CPO), and commodity trading advisors (CTA) as part of the NFA membership application process. Swap dealers (SD) and major swap participants (MSP) are also asked to complete the Questionnaire immediately after becoming provisionally registered. All NFA Members must complete the Questionnaire annually as part of the NFA membership renewal process.

The Questionnaire provides NFA with information on Members' activities and operations, serves as a continuous source of data for NFA's risk monitoring systems, and is frequently the first resource that NFA staff reviews when engaging with or performing work related to a Member. For that reason, it is highly important that firms update the answers throughout the year, or any time operations may change.

In order to ensure that firms are updating answers each year, many of the previous answers will be cleared from the prior filing and firms will need to answer those specific questions again.

Introduction

This user guide provides detailed information on how to access the system, how to edit and add a user, and how to submit, amend, and print a Questionnaire filing. Additionally, this guide provides information on various sections specific to different registrants. For additional information, NFA offers a previously recorded [webinar](#) highlighting the features of the Questionnaire followed by a Q&A session, as well as a template of all possible and available questions within the Questionnaire along with expanded help text (See [Annual Questionnaire Template with Expanded Help Text](#) for details. A [supplement to the template](#) regarding Micro contract and updated virtual currency product questions were added in December 2021).

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Accessing the Annual Questionnaire

Security User Access

Before you can access the Questionnaire, you must ensure you have appropriate security user access. Users who already have any type of access to NFA's Online Registration System (ORS) will automatically have access to the Questionnaire. However, to grant a new individual access to the Questionnaire, you must set up a new user account. Only a Security Manager can add or change a user's security level. For detailed instructions, access the [How to Set Up EasyFile Security: Instructions for Security Managers](#).

Questionnaire Access

To access the Annual Questionnaire, click the "Electronic Filing Systems" link at the top of any page on NFA's website.

Then, click the applicable membership category accordion folder and click the "Annual Questionnaire" link.

The screenshot shows the NFA website's navigation bar with the following links: About, News & Notices, Members, Registration, Investors, and Careers. The "Electronic Filing Systems" link is highlighted with a red box. Below the navigation bar, the page title "Electronic Filing Systems" is displayed. A list of membership categories is shown as an accordion menu, with the first item "Commodity Pool Operators (CPO)" expanded. Other categories include "Commodity Trading Advisors (CTA)", "Futures Commissions Merchants (FCM)", "Introducing Brokers (IB)", "Retail Foreign Exchange Dealers (RFED) and Forex Dealer Members (FDM)", "Swap Dealers (SD)", and "Exchanges, CFTC and NFA Use Only".

You'll then be taken to a system landing page. Click the "Access the System" button to reach the system login page, where you will enter your EasyFile credentials. Once you've entered your username and password, click "Log In" to enter the system.

If you attempt to log into the system but do not have the necessary permissions, you'll receive a message requesting that you contact your firm's Security Manager.



NFA System Login - Easy File Plus

Please log in with your username and password to access the Easy File Plus system.

| | | |
|---------------------------------------|--------------------------|------------|
| User Name | <input type="text"/> | * Required |
| Password | <input type="password"/> | |
| <input type="button" value="Log In"/> | | |

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The Filing Index

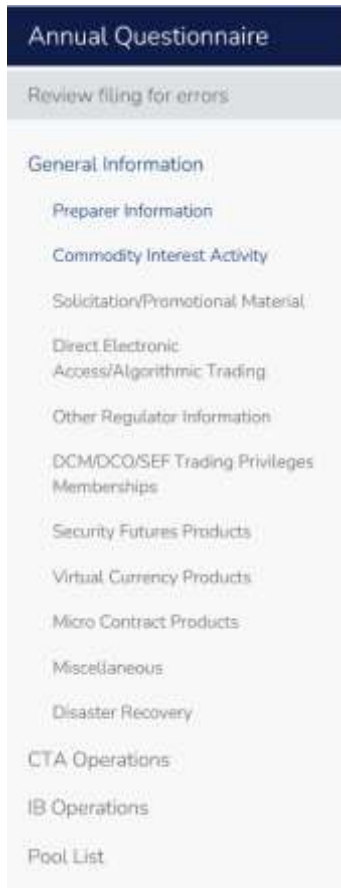
The Filing Index is the main page of the Questionnaire system. The Filing Index displays the following information about the Questionnaire filing:

| <u>Questionnaire Name</u> | <u>Questionnaire Date</u> | <u>Status</u> |
|---------------------------|---------------------------|---------------|
|---------------------------|---------------------------|---------------|

- **Questionnaire Name**
 - **Annual Questionnaire:** Click on this link to begin completing the filing.
 - **Firm Disaster Recovery:** If your firm is registered as an FCM, RFED, SD or MSP, the Firm Disaster Recovery contact information is also required to be submitted through the WinJammer system in conjunction with completing the Questionnaire.
- **Questionnaire Date**
 - Date of your firm's annual Questionnaire cycle.
- **Status**
 - **Outstanding – Due M/DD/YYYY:** Indicates that the filing has not yet been submitted and the date that it is due.
 - **Received Date – M/DD/YYYY HH:MM:SS AM/PM:** Indicates the date the filing was submitted and received.
 - **Overdue – Due M/DD/YYYY:** Indicates that the filing is overdue and that date that it was due.
 - **Amendment Received Date– M/DD/YYYY HH:MM:SS AM/PM:** Indicates subsequent updates made by a firm and the date that the updates were received.
 - **Amending – Original Received Date – M/DD/YYYY HH:MM:SS AM/PM:** Indicates that the Questionnaire is being amended and the date that the original filing was received.

Filing Overview and Navigation

The Questionnaire is arranged by sections with different topics. These topics are delineated in a left-hand navigation pane; you can click on any section or topic to go directly to that section or topic.



Under General Information, the following are possible topics displayed for futures, forex and swap intermediaries.

- Preparer Information
- Commodity Interest Activity
- Solicitation/Promotional Material
- Direct Electronic Access/Algorithmic Trading
- Other Regulator Information
- DCM/DCO/SEF Trading Privileges Memberships
- Security Futures Products
- Virtual Currency Products
- Micro Contract Products
- Miscellaneous
- Disaster Recovery
- Not Doing Business

Under General Information, the following are displayed for dealers or market makers in swaps:

- Preparer Information
- Filing Information
- DCM/DCO/SEF Trading Privileges Memberships
- Miscellaneous

Following the General Information section, sections with questions regarding your firm's business operations will then appear specific to your firm's registration category. For example, if your firm is an IB, an IB Operations section will display, while an FCM would see an FCM Operations section, or a dually registered SD and CTA would see both the Swap Dealers and CTA Operations section, etc. Possible sections include:

- CTA Operations
- FCM Operations
- IB Operations
- RFED Operations
- Swap Dealers

Finally, for CPO Members, a Pool List section with Members' listed pools, regardless of whether they have Questionnaire requirements, is available.

See the [Appendix](#) at the end of the guide for further questions in the filing related to specific registration categories.

Top Menu Pane

The top menu pane includes the following:



- **Filing Index** – Clicking on this menu item will bring you back to the Filing Index page.
- **Submit Filing** – Clicking on this menu item will attempt to submit the filing. Before the filing is submitted, it is checked for errors and warnings. If there are any errors or warnings, a validation screen will display a listing of the errors and warnings found in the filing (see [Summary of Errors and/or Warnings](#)). If there are no errors, the submission oath is displayed (see [Submit a Filing](#)).
- **Printer Friendly** – Clicking on this menu item allows you to print your Questionnaire by using your default printer function.
- **Help** – Clicking on this menu item will bring you to the User Guide for the Questionnaire.
- **Logout** – Clicking on this menu item will log you out of the Questionnaire.

Smart, Dynamic, Interdependent Questions

The Questionnaire includes many "smart" or "dynamic" questions. As you complete the Questionnaire, each answer will impact the questions that appear next. As a result, you will only need to answer questions that are relevant to your firm's operations. Let's look at the Commodity Interest Activity section, which is segmented by product type. The Commodity Interest Activity section is one of the most important sections of the Questionnaire, as it impacts what you see in other sections throughout the filing. If you indicate 'Yes,' the firm has customers and/or pools that engage in activity relating to commodity interests, subsequent questions related to the specific product type will be required to be answered. If, on the other hand, you answer 'No' to that first question, a pop-up message will appear, informing you of the impact your answer will have on the rest of the Questionnaire and any previously answered questions.

? Does the firm currently have customers and/or pools that engage in activity relating to commodity interests? Firms that should answer Yes to this question include, but are not limited to, firms that operate pools which invest in other pools that engage in commodity interests. Commodity interests includes futures/options on futures, retail off-exchange foreign currency (Forex), and swaps. Firms that refer business, recommend third party advisors or pool operators, offer tailored advice, broker or trade client accounts, or execute trades for clients should also consider these their customers *See the help text for more information.* 4001
 Yes No

? Futures/Options on Futures? 4002
 Yes No

Approximately how many customers and/or pools engaged in these transactions in the past 12 months? 4003

? Retail off-exchange foreign currency (Forex)? 0258
 Yes No

Approximately how many customers and/or pools engaged in these transactions in the past 12 months? 4004

? Swaps? 4006
 Yes No

Approximately how many customers and/or pools engaged in these transactions in the past 12 months? 4007

Changing Box 4001 response from Yes to No:

Commodity Interest Activity

? Does the firm currently have customers and/or pools that engage in activity relating to commodity interests? Firms that should answer Yes to this question include, but are not limited to, firms that operate pools which invest in other pools that engage in commodity interests. Commodity interests includes futures/options on futures, retail off-exchange foreign currency (Forex), and swaps. Firms that refer business, recommend third party advisors or pool operators, offer tailored advice, broker or trade client accounts, or execute trades for clients should also consider these their customers *See the help text for more information.* 4001
 Yes No

? Futures/Options on Futures? 4002
 Yes No

Approximately how many customers and/or pools engaged in these transactions in the past 12 months? 4003


? Retail off-exchange foreign currency (Forex)? 0258
 Yes No

? Swaps? 4006
 Yes No

Message from webpage ✕

? You are about to amend the answer to a control question. Note that any previously answered questions will thus be cleared. Click OK to proceed or Cancel to cancel.

Saving Your Information

The questions that you answer are saved by clicking the "Save" button () either above or below the Questionnaire filing (the "Save" button is not visible on filings that have already been submitted) or clicking on any other buttons on the form including the "Next" and "Previous" buttons. The only times your answers will not be saved is if you close your web browser, click the "Refresh" button on your browser, or your session times out due to inactivity (your session will time out after 20 minutes of inactivity).

Submission Process

Summary of Errors and/or Warning

All errors and warnings are accessible on the "Summary of Errors and/or Warnings" screen which can be accessed at any time throughout the Questionnaire completion by clicking "Review filing for errors" in the left-hand navigation pane. This button is not visible once a filing has been submitted. If you attempt to submit your Questionnaire and any errors or warnings exist, you'll be redirected to this screen from which you can navigate to the specific questions causing the errors or warnings.

- **Warnings** – If the filing only fails rules of the type "Warning" it can still be submitted but you should look at the warnings to verify that all the data was entered correctly. If you choose to submit the Questionnaire with warnings, click the "Submit with Warnings" button and the Submission Oath page will display.
- **Errors** – If the filing fails any rule of type "Error" then the error must be corrected before you will be able to submit your filing. For example, if you indicate that your firm engages in swaps products, but your firm is not designated as a Swap Firm, the Questionnaire will notify you of this discrepancy and require that your firm be designated to proceed with that response. You will need to correct all errors before you will be allowed to submit the Questionnaire.

Clicking the specific error/warning will easily navigate you to the applicable question causing that error or warning. In some instances, you will also be able to navigate to other systems, such as in the warning imaged below, which, when you click 'Online Registration System', will take you directly to our Online Registration System log-in page.

Example of Summary of Errors and/or Warnings page:

| Summary of Errors and/or Warnings | |
|--|---------|
| Description | Type |
| The firm's secondary contact for Disaster Recovery must be different from the firm's primary contact. Amend accordingly. | Error |
| The firm indicated that it engages in retail off-exchange foreign currency (forex) transactions, but is not designated or pending as a Forex Firm. The firm must go into ORS to submit for Forex Firm designation or amend the question accordingly. | Error |
| List the number of exempt and non-exempt commodity pools the firm operates that have received funds" is required. | Error |
| Please enter a numerical value greater than or equal to "0" for Box0260 | Error |
| One or more pools have not completed their questionnaire. Please complete pool questionnaire prior to submitting. | Error |
| Firm indicated it has Futures/Options on Futures customers. If so, a response to "Approximately how many customers and/or pools engaged in these transactions in the past 12 months" is required. | Error |
| Firm indicated it has Retail off-exchange foreign currency (Forex) customers. If so, a response to "Approximately how many customers and/or pools engaged in these transactions in the past 12 months" is required. | Error |
| Firm indicated it has Swaps customers. If so, a response to "Approximately how many customers and/or pools engaged in these transactions in the past 12 months" is required. | Error |
| Firm indicated it has a Chief Compliance Officer (CCO). Please remember that anyone having the CCO title must be listed as a principal of the firm in NFA's Online Registration System | Warning |

Submit a Filing

NFA designed the Questionnaire to be helpful for Member firms, while still ensuring that answers are not contradictory within the filing. Once errors and/or warnings are addressed (See [Summary of Errors and/or Warnings](#) for details), you can submit your firm's Questionnaire by clicking "Submit Filing" in the top menu pane of the system.



All errors are required to be fixed before a Member firm can submit the Questionnaire. Once all errors are cleared, you can choose to submit with outstanding warnings upon providing an explanation.

Summary of Errors and/or Warnings

| Description | Type |
|---|---------|
| Firm indicated it has a Chief Compliance Officer (CCO). Please remember that anyone having the CCO title must be listed as a principal of the firm in NFA's Online Registration System. | Warning |

Please provide a note if submitting with warnings.
Your explanation may alleviate the need for NFA to contact you during the analysis of your statement.

No errors were found in this filing. Click on Submit Filing to proceed with submission.

A PDF report of this filing is going to be generated when you click on the Submit button. This process may take a few minutes and we ask you not close your browser before it is completed. Thank you.

[Submit Filing With Warnings](#)

[Back To Filing](#)

Questionnaire" would direct your firm to the new required filing. Click "Amend Filing" in the top menu pane of a completed filing to make amendments to the filing.



You are then taken to the Filing Index page, where you can see the filing status now reads "Amending – Original Received Date."

| Questionnaire Name | Questionnaire Date | Status |
|--------------------------------------|--------------------|--|
| Annual Questionnaire | 04-30-2020 | Amending – Original Received Date 7/13/2020 3:21:38 PM |

After you are done amending the filing, it must be reviewed again for errors and/or warnings, and then resubmitted.

Appendix

Relationships Screens

In certain areas of the Questionnaire, for example the DCM/DCO/SEF Trading Privileges Memberships or Pools List sections, you can add and edit relationships. To add a relationship, click on the "Manage Relationships" button as shown below.

The screenshot shows the 'General Information' section of the Annual Questionnaire. The firm name is 'DEMO COMPANY LLC', the filing date is '11-30-2021', and the NFA ID is '0123456'. There are four questions with radio button options for 'Yes' and 'No':

- Does the firm have a Legal Entity Identifier (LEI)?
- Does the firm have trading privileges (member of) on any registered Swap Execution Facility (SEF)?
- Does the firm have trading privileges (e.g., member of) on any Designated Contract Market (DCM)?
- Is the firm a member of any Derivatives Clearing Organization (DCO)?

Below the questions, there is a section titled 'Identify the DCOs:' with a green button labeled 'MANAGE RELATIONSHIPS' highlighted by a red box. Below this is a table with the following data:

| NFA ID | Name | Start Date |
|--------|--------------|------------|
| | XYZ CORP | 9/1/2018 |
| | EFG CLEARING | 10/17/2017 |

A pop-up will appear. Click the "New" button.

The screenshot shows a pop-up window for managing relationships. It features a table with the following data:

| NFA ID | Name | Start Date |
|--------|--------------|------------|
| | XYZ CORP | 9/1/2018 |
| | EFG CLEARING | 10/17/2017 |

A green button labeled '+ NEW' is highlighted with a red box in the top left corner of the pop-up. A 'CLOSE' button is located in the bottom right corner.

In most areas of the Questionnaire, the relationship information is pre-populated and requires a selection from a drop-down. When information in the drop-down does not match your firm's operations, the drop-down includes a 'Not in the List' option which prompts and allows you to create a new relationship.

Whether a relationship is pre-populated or 'Not in the List' and then created, click "Save" to add the relationship.

The new relationship will then appear in the list.

| NFA ID | Name | Start Date |
|--------|--------------|------------|
| | ABC DCO | 9/1/2020 |
| | XYZ CORP | 9/1/2018 |
| | EFG CLEARING | 10/17/2017 |

CTA Operations

For CTAs that do not direct trading commodity interest accounts (e.g., hold power of attorney on those accounts), the Questionnaire will still collect information on the firm's activities.

Annual Questionnaire

Review filing for errors

General Information

- Preparer Information
- Commodity Interest Activity
- Solicitations/Promotional Material
- Direct Electronic Access/Algorithmic Trading
- Other Regulator Information
- DCM/DCO/SEF Trading Privileges Memberships
- Security Futures Products
- Virtual Currency Products
- Micro Contract Products
- Miscellaneous
- Disaster Recovery

CTA Operations

DEMO COMPANY LLC 11-30-2021 NFA ID : 0123456

← Previous Save Next →

Commodity Interest Activity

Intro

Exemptions: NFA currently has the following exemption information on file for the firm. If the below information is incorrect, please click [here](#) to update the firm's exemption status.

4.7

❗ Does the firm currently direct any trading of commodity interest accounts? Yes No

Does the firm provide commodity trading advice to the general public (such as in a newsletter, periodical, or telephone hotline)? Yes No

Does the firm recommend third-party trading advisors or pool operators or provide tailored advice without exercising discretionary authority? Yes No

Does the firm solicit for or accept accounts for non-Qualified Eligible Persons (QEPs)? See [CFTC Regulation 54.7](#) for applicable definitions. Yes No

Check all fees charged or received by the firm during the last 12 months, as applicable:

- A percentage of assets under CTA's management
- Performance-based fees
- Subscription fees (for a newsletter, periodical, trading system)
- Fixed fees (other than subscription fees)

IB or FCM Operations

Subsections based on Product Types

FCMs and IBs whose clients engage in swaps activities or retail off-exchange foreign currency (forex) transactions should pay attention to the questions regarding those activities in the Commodity Interest Activity section. These questions drive additional questions within the IB Operations and FCM Operations sections.

The screenshot displays a questionnaire interface with a sidebar on the left and a main content area on the right. The sidebar includes the following items: Solicitation/Promotional Material, Direct Electronic Access/Algorithmic Trading, Other Regulator Information, DCM/DCC/SEF Trading Privileges Memberships, Security Futures Products, Virtual Currency Products, Micro Contract Products, Miscellaneous, Disaster Recovery, IB Operations (highlighted), and Logout. The main content area is titled "Commodity Interest Activity" and contains several questions with radio button options:

- Question 8001: "Does the firm currently have customers and/or pools that engage in activity relating to commodity interests? Firms that should answer Yes to this question include, but are not limited to, firms that operate pools which invest in other pools that engage in commodity interests. Commodity interests includes futures/options on futures, retail off-exchange foreign currency (Forex), and swaps. Firms that refer business, recommend third party advisors or pool operators, offer tailored advice, broker or trade client accounts, or execute trades for clients should also consider these their customers. See the help text for more information." Options: Yes (checked), No.
- Question 8002: "Futures/Options on Futures?" Options: Yes, No (checked).
- Question 8003: "Retail off-exchange foreign currency (Forex)?" Options: Yes, No (checked).
- Question 8004: "Swaps?" Options: Yes (checked), No.
- Question 8005: "Approximately how many customers and/or pools engaged in these transactions in the past 12 months?" Input field with a yellow highlight.
- Section: "Were the swaps:"
 - Question 8006: "Cleared?" Options: Yes, No (checked).
 - Question 8007: "Uncleared?" Options: Yes (checked), No.
- Section: "Did the firm act as counterparty to transactions for the following types of swaps?"
 - Question 8008: "Cleared?" Options: Yes, No (checked).
 - Question 8009: "Uncleared?" Options: Yes (checked), No.

Sections for Block Trading, Exchange for Related Positions (EFRP), Give-Up or Execution Business, Trailing Commissions

FCMs and IBs that engage in block trading, exchange for related positions (EFRP), give-up or execution business on behalf of customers will see questions specific to those operations. Additionally, FCMs and IBs that receive trailing commissions to solicit for subscriptions in a commodity pool and/or solicit discretionary accounts to be managed by CTAs will also see new questions related to those operations. For a listing of all the possible questions within these respective sections, refer to the [Annual Questionnaire Template with Help Text](#).

Customer Base Grid

FCMs and IBs that have customers and/or pools that engage in commodity interests will see a customer grid, dynamically requiring responses based on their firm's reported operations.

Customer Base

- See [NFA Bylaw 1507](#) for the definition of futures
- See [CFTC Regulation §5.1](#) and [Commodity Exchange Act §2\(c\)\(2\)\(b\)](#) or [§2\(c\)\(2\)\(c\)](#) for the definition of forex.
- See [CFTC Regulation §1.3\(xxx\)](#) and [Commodity Exchange Act §1a\(47\)](#) for the definition of a swap.
- See [Interpretive Notice 9055](#) for the definition of Letter of Direction (LOD).

Close help

Complete the following table regarding the firm's **customer asset base**. Identify the approximate number of customers by account type that engage in **specified commodity interest transactions**. *See the help text for applicable definitions.*

| Account Type | Approximate Number of Futures and Options on Futures Customer Accounts | Approximate Number of Retail Forex Customer Accounts | Approximate Number of Swaps Customer Accounts |
|--|--|--|---|
| Non-discretionary | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Discretionary – Managed by firm/employee via Power of Attorney (POA) | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Discretionary – Managed by firm/employee via Letter of Direction (LOD) | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Discretionary – Managed by 3rd party | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Hedge Accounts | <input type="text"/> | <input type="text"/> | <input type="text"/> |

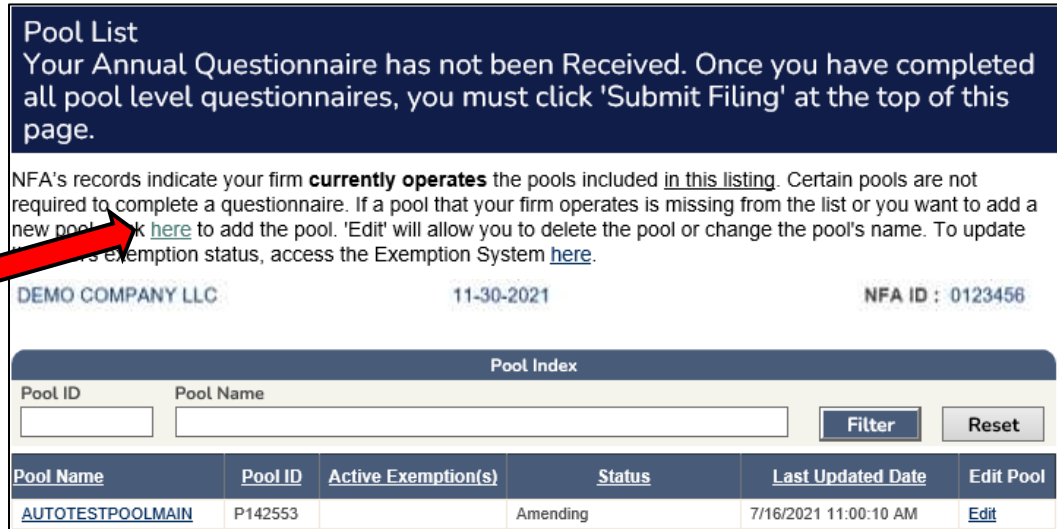
CPO - Pool List

For CPOs, the system displays the Members' listed pools, regardless of whether they have Questionnaire requirements. Users have the ability to sort on the column headers and can search and filter by pool ID or pool name.

Pool Capabilities

Add a Pool

1. To add a new commodity pool, click the link as shown below via the CPO's Pool List.



Pool List
Your Annual Questionnaire has not been Received. Once you have completed all pool level questionnaires, you must click 'Submit Filing' at the top of this page.

NFA's records indicate your firm **currently operates** the pools included in [this listing](#). Certain pools are not required to complete a questionnaire. If a pool that your firm operates is missing from the list or you want to add a new pool, click [here](#) to add the pool. 'Edit' will allow you to delete the pool or change the pool's name. To update your exemption status, access the Exemption System [here](#).

DEMO COMPANY LLC 11-30-2021 NFA ID : 0123456

Pool Index

Pool ID Pool Name

| Pool Name | Pool ID | Active Exemption(s) | Status | Last Updated Date | Edit Pool |
|----------------------------------|---------|---------------------|----------|-----------------------|----------------------|
| AUTOTESTPOOLMAIN | P142553 | | Amending | 7/16/2021 11:00:10 AM | Edit |

2. Enter the full name of the pool.



Add Pool

DEMO COMPANY LLC 11-30-2021 NFA ID : 0123456

It is recommended that Controlled Foreign Corporations (CFCs), Series, and/or Trading Subsidiaries be listed first. The firm will then have the option to link the CFC, Series, or Trading Subsidiary to the pool it identifies as a RIC, Umbrella, or Parent.

Please enter the name of the pool that you want to add.

3. If the CPO is attempting to create a Co-CPO relationship with a pool that already exists, select the pool from the list, and then select "Create Co-CPO Relationship to Selected Pool" and click continue.
4. If the CPO is attempting to add a new pool, select, "Pool is Not Listed Above – Create New Pool" and click continue.

Delete a Pool

1. A CPO can delete a pool by clicking the "Edit" Button next to the respective pool in the Pool List.

Pool List
Your Annual Questionnaire has not been Received. Once you have completed all pool level questionnaires, you must click 'Submit Filing' at the top of this page.


NFA's records indicate your firm **currently operates** the pools included in [this listing](#). Certain pools are not required to complete a questionnaire. If a pool that your firm operates is missing from the list or you want to add a new pool, click [here](#) to add the pool. 'Edit' will allow you to delete the pool or change the pool's name. To update the pool's exemption status, access the Exemption System [here](#).

DEMO COMPANY LLC 11-30-2021 NFA ID : 0123456

Pool Index

Pool ID Pool Name Filter Reset

| Pool Name | Pool ID | Active Exemption(s) | Status | Last Updated Date | Edit Pool |
|----------------------------------|---------|---------------------|----------|-----------------------|----------------------|
| AUTOTESTPOOLMAIN | P142553 | | Amending | 7/16/2021 11:00:10 AM | Edit |



2. Select "Delete this pool".

Edit Pool Information


AUTOTESTPOOLMAIN 11-30-2021 NFA ID : P123456

Please select what you wish to edit about your pool

Edit the name of this pool

Delete this pool

NEXT **CANCEL**



3. The CPO will then be presented with options the CPO can select as a reason for deleting the pool(s). Select the applicable reason and follow the prompts.

Delete Pool

AUTOTESTPOOLMAIN 11-30-2021 NFA ID : P123456

Please select the reason for deleting your pool:

- The pool ceased trading.**
Note: This option should be used for all pools that have ceased trading, including those that were previously 4.13 or 4.5 exempt. This option should also be used to identify pools that ceased operating because they merged with other pools. The next screen will prompt you to enter the date the pool permanently ceased trading, which will be used to determine reporting requirements, as applicable.
- The pool has not commenced trading and has no plans to do so.**
- The pool is currently active but is no longer trading commodity interest products.**
Note: This option should be used for all pools that will remain active to trade non-commodity interest products, even those that were previously 4.13 or 4.5 exempt. The next screen will allow you to enter the date the pool ceased trading commodity interest products, which will determine if there are any reporting requirements.
- The CPO no longer operates the pool.**
- The pool was created in error and is a duplicate of an existing commodity pool.**

If none of the above options are applicable to your situation, please send an email to managemypools@nfa.futures.org that includes the name and ID# of the firm, the name and ID# of the pool, and a detailed reason as to why you believe the pool should be deleted. NFA will strive to review your request within 48-72 hours of your email.

NEXT CANCEL

Change a Pool Name

1. A CPO can change a pool's name by clicking the "Edit" button next to the respective pool in the Pool List.

Pool List

Your Annual Questionnaire has not been Received. Once you have completed all pool level questionnaires, you must click 'Submit Filing' at the top of this page.


NFA's records indicate your firm **currently operates** the pools included in [this listing](#). Certain pools are not required to complete a questionnaire. If a pool that your firm operates is missing from the list or you want to add a new pool, click [here](#) to add the pool. 'Edit' will allow you to delete the pool or change the pool's name. To update the pool's exemption status, access the Exemption System [here](#).

DEMO COMPANY LLC 11-30-2021 NFA ID : 0123456

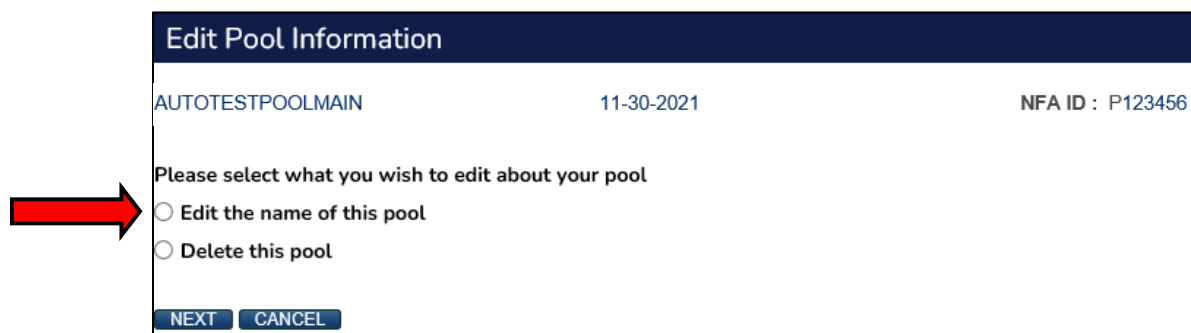
Pool Index

Pool ID Pool Name Filter Reset

| Pool Name | Pool ID | Active Exemption(s) | Status | Last Updated Date | Edit Pool |
|----------------------------------|---------|---------------------|----------|-----------------------|----------------------|
| AUTOTESTPOOLMAIN | P142553 | | Amending | 7/16/2021 11:00:10 AM | Edit |



2. Select "Edit the name of this pool".



Edit Pool Information

AUTOTESTPOOLMAIN 11-30-2021 NFA ID : P123456

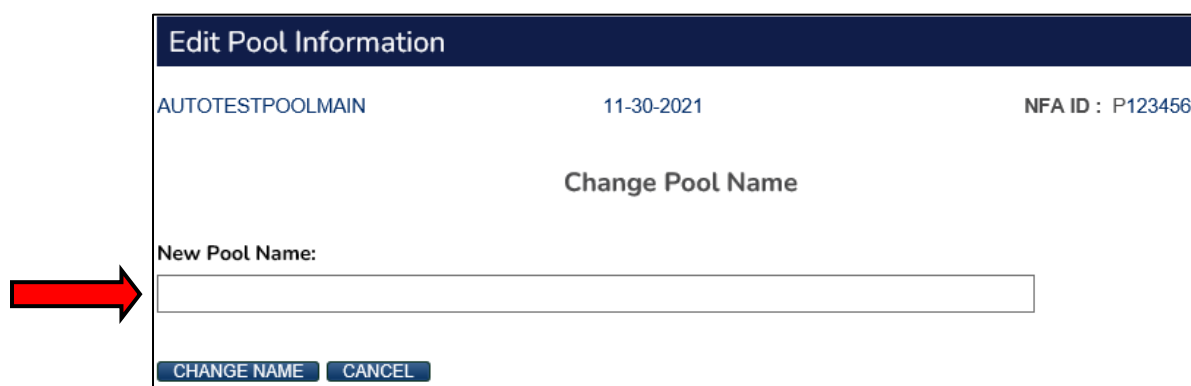
Please select what you wish to edit about your pool

Edit the name of this pool

Delete this pool

NEXT **CANCEL**

3. Enter the pool's full new name and click "Change Name".



Edit Pool Information

AUTOTESTPOOLMAIN 11-30-2021 NFA ID : P123456

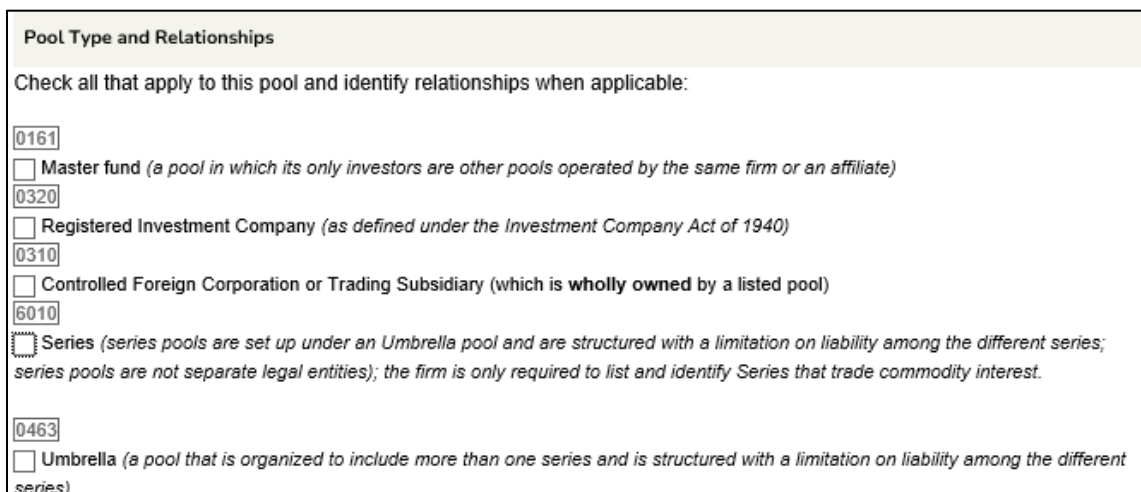
Change Pool Name

New Pool Name:

CHANGE NAME **CANCEL**

Pool Relationships

CPOs may establish pool relationships between master funds and feeder funds, registered investment companies (RIC) and controlled foreign corporations (CFC)/trading subsidiaries, parent pools and trading subsidiaries, and umbrella pools and series pools within the pool-level questionnaire under the section entitled "Pool Type and Relationships".



Pool Type and Relationships

Check all that apply to this pool and identify relationships when applicable:

0161 Master fund (a pool in which its only investors are other pools operated by the same firm or an affiliate)

0320 Registered Investment Company (as defined under the Investment Company Act of 1940)

0310 Controlled Foreign Corporation or Trading Subsidiary (which is **wholly owned** by a listed pool)

6010 Series (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); the firm is only required to list and identify Series that trade commodity interest.

0463 Umbrella (a pool that is organized to include more than one series and is structured with a limitation on liability among the different series)

Master Fund and a Feeder Fund

1. Click on the pool name for the pool the CPO wishes to identify as a Master Fund. This will bring the CPO to the respective pool's questionnaire.
2. Under "Pool Type and Relationships", indicate that the pool is a Master Fund.

Pool Type and Relationships

Check all that apply to this pool and identify relationships when applicable:

0161 Master fund (a pool in which its only investors are other pools operated by the same firm or an affiliate)
Identify the Feeder Fund:

MANAGE RELATIONSHIPS

| NFA ID | Name |
|---------|------|
| No Data | |

0320 Registered Investment Company (as defined under the Investment Company Act of 1940)

0310 Controlled Foreign Corporation or Trading Subsidiary (which is **wholly owned** by a listed pool)

6010 Series (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); the firm is only required to list and identify Series that trade commodity interest.

0463 Umbrella (a pool that is organized to include more than one series and is structured with a limitation on liability among the different series)

3. The CPO must then click the "Manage Relationships" button to identify the applicable Feeder Fund(s). Click the "New" icon to establish a new relationship:

+ new

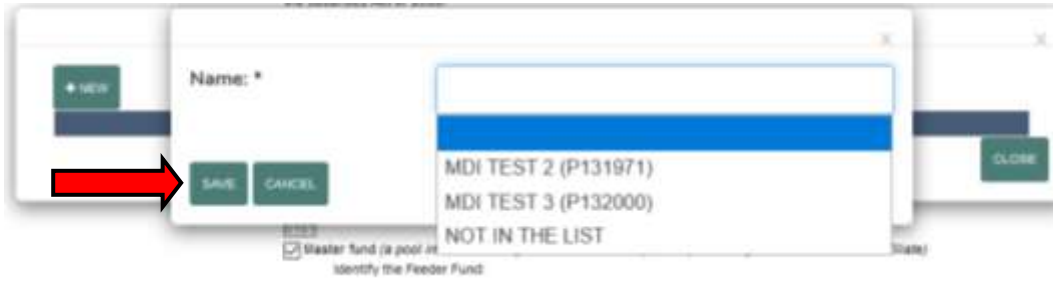
| NFA ID | Name |
|--------|------|
|--------|------|

CLOSE

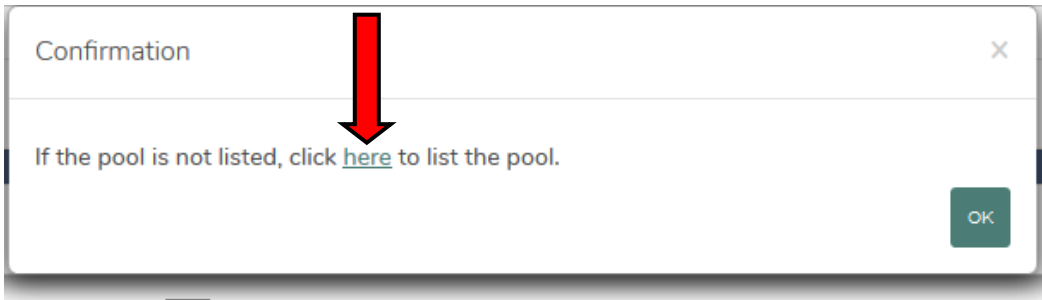
0161 Master fund (a pool in which its only investors are other pools operated by the same firm or an affiliate)
Identify the Feeder Fund

MANAGE RELATIONSHIPS

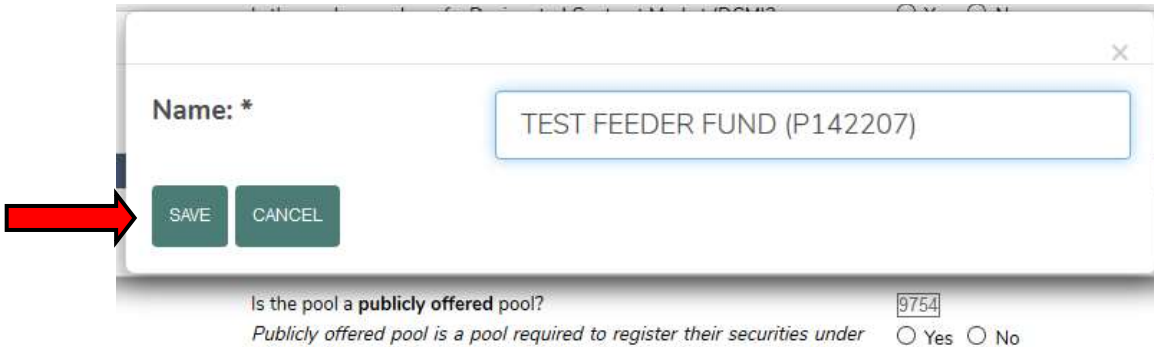
- The drop-down here includes a listing of pools operated by the CPO and the CPO's affiliates. Select the applicable Feeder Fund and click "Save".



- If the Feeder Fund is not in the list, click 'Not in the List' and follow the prompt to add the Feeder Fund as a pool.



- Once the CPO successfully lists the Feeder Fund as a pool, the pool should appear in the drop-down. The CPO can then select it from the drop-down and click "Save".



Controlled Foreign Corporation (CFC) and a Registered Investment Company (RIC)

1. Click on the pool name for the pool the CPO wishes to identify as a CFC. This will bring the CPO to the respective pool's questionnaire.
2. Under "Pool Type and Relationships", indicate that the pool is a CFC or Trading Subsidiary.

Pool Type and Relationships

Check all that apply to this pool and identify relationships when applicable:

0161 Master fund (a pool in which its only investors are other pools operated by the same firm or an affiliate)

0320 Registered Investment Company (as defined under the Investment Company Act of 1940)

0310 Controlled Foreign Corporation or Trading Subsidiary (which is **wholly owned** by a listed pool)

6010 Series (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); the firm is only required to list and identify Series that trade commodity interest.

0463 Umbrella (a pool that is organized to include more than one series and is structured with a limitation on liability among the different series)

3. The CPO will then be asked if the pool is wholly owned by a RIC.

Controlled Foreign Corporation or Trading Subsidiary (which is **wholly owned** by a listed pool)

Is the pool wholly owned by a Registered Investment Company? 8331

Yes No

4. If the pool is wholly owned by a RIC, the CPO will be prompted to identify the RIC. To do this, the CPO must click the "Manage Relationships" button.

Controlled Foreign Corporation or Trading Subsidiary (which is **wholly owned** by a listed pool)

Is the pool wholly owned by a Registered Investment Company? 8331

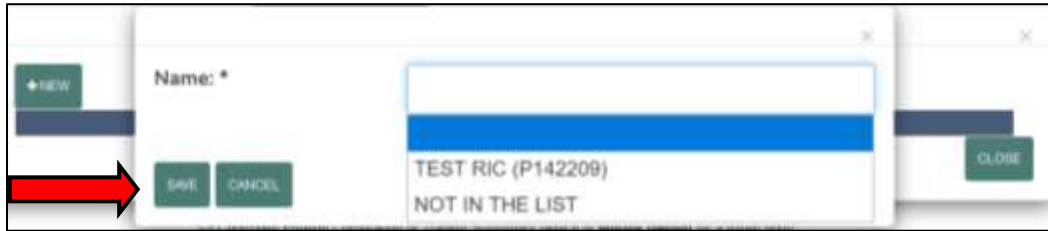
Yes No

Select Registered Investment Company (RIC):

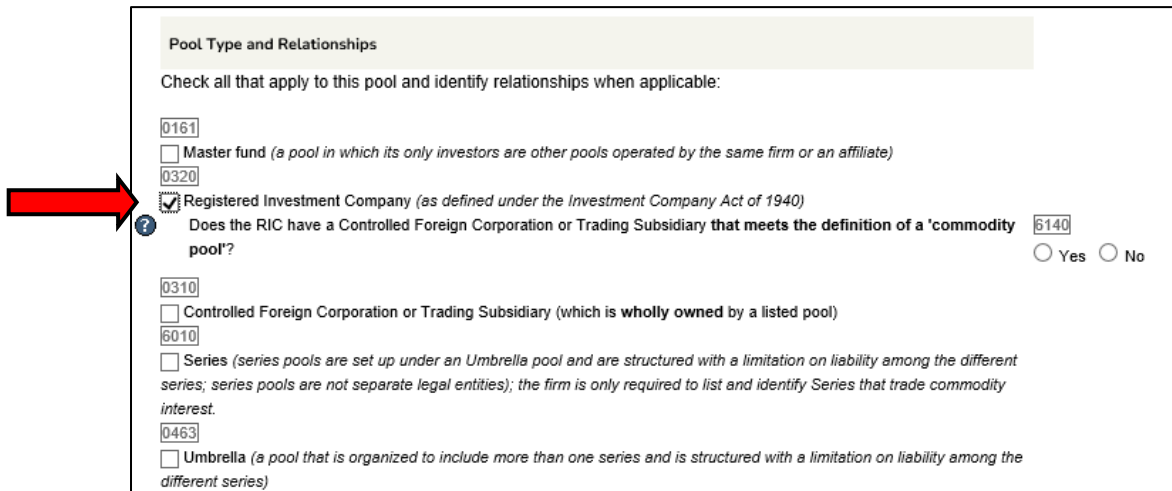
5. Click the "New" icon to establish a new relationship:

| | NFA ID | Name |
|--------------------------------------|--------|------|
| <input type="button" value="+ NEW"/> | | |

- The drop-down includes a listing of pools operated by the CPO that are identified as RICs. Select the applicable pool and click "Save".



- If the RIC is not in the list, ensure that the RIC is a listed pool and is identified as a RIC in its respective questionnaire.



- The CPO will then be able to establish the relationship in either the RIC or the CFC's questionnaire by clicking the "Manage Relationships" button. The respective RIC or CFC should now appear in the drop-down.
- Once the respective relationship is added, click "Save".



Trading Subsidiary and Parent that is not a RIC

1. Click on the pool name for the pool the CPO wishes to identify as a Trading Subsidiary. This will bring the CPO to the respective pool's questionnaire.
2. Under "Pool Type and Relationships," indicate that the pool is a CFC or Trading Subsidiary.

Pool Type and Relationships

Check all that apply to this pool and identify relationships when applicable:

0161 Master fund (a pool in which its only investors are other pools operated by the same firm or an affiliate)

0320 Registered Investment Company (as defined under the Investment Company Act of 1940)

0310 Controlled Foreign Corporation or Trading Subsidiary (which is wholly owned by a listed pool)

6010 Series (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); the firm is only required to list and identify Series that trade commodity interest.

0463 Umbrella (a pool that is organized to include more than one series and is structured with a limitation on liability among the different series)

3. The CPO will then be asked if the pool is wholly owned by a Registered Investment Company. Since the Parent is not a RIC, the CPO should answer "No".

0310 Controlled Foreign Corporation or Trading Subsidiary (which is wholly owned by a listed pool)

Is the pool wholly owned by a Registered Investment Company? 6331 Yes No

Select Parent

[MANAGE RELATIONSHIPS](#)

4. The CPO must then click the "Manage Relationships" button to identify the Parent. Click the "New" icon to establish a new relationship:

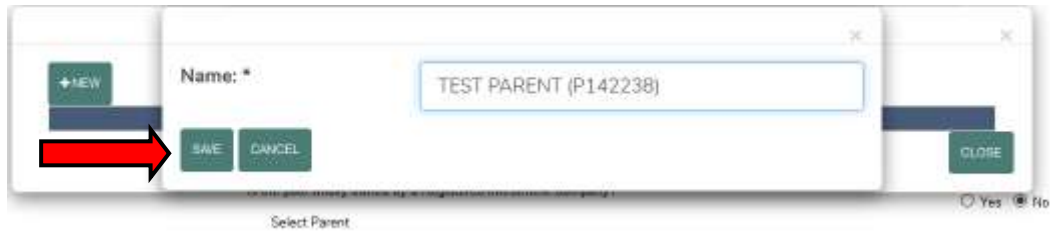
[+ NEW](#)

| NFA ID | Name |
|---------|------|
| No Data | |

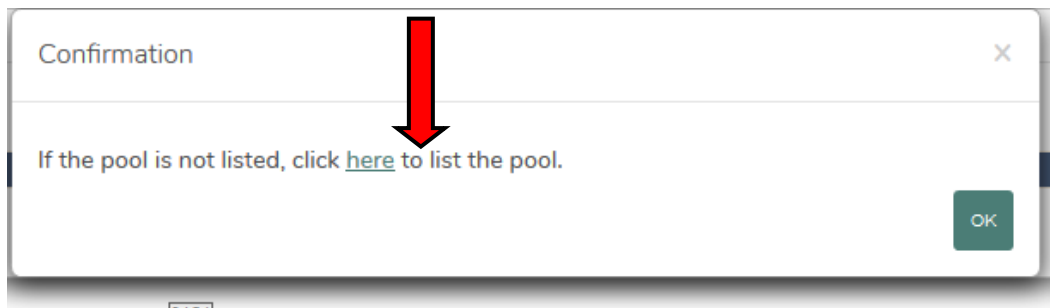
[CLOSE](#)

| NFA ID (Parent) | Name |
|-----------------|------|
| No Data | |

5. The drop-down here includes a listing of non-RIC pools operated by the CPO. Select the applicable pool and click "Save".



6. If the Parent is not in the list, click 'Not in the List' and follow the prompt to add the Parent as a pool to the CPO's pool list.



7. Once the CPO successfully lists the Parent as a pool, the pool should appear in the drop-down. The CPO can then select it from the drop-down and click "Save".

Series Pool and an Umbrella Pool

1. Click on the pool name for the pool the CPO wishes to identify as a Series pool. This will bring the CPO to the pool's questionnaire.
2. Under "Pool Type and Relationships", indicate that the pool is a Series.

Pool Type and Relationships

Check all that apply to this pool and identify relationships when applicable:

0161 Master fund (a pool in which its only investors are other pools operated by the same firm or an affiliate)

0320 Registered Investment Company (as defined under the Investment Company Act of 1940)

0310 Controlled Foreign Corporation or Trading Subsidiary (which is **wholly owned** by a listed pool)

6010 Series (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); the firm is only required to list and identify Series that trade commodity interest.

Identify the Umbrella

MANAGE RELATIONSHIPS

| NFA ID | Name |
|---------|------|
| No Data | |

0463 Umbrella (a pool that is organized to include more than one series and is structured with a limitation on liability among the different series)

3. The CPO must then click the "Manage Relationships" button to identify the Umbrella to this Series. Click the "New" icon to establish a new relationship:

+ NEW

| NFA ID | Name |
|---------|------|
| No Data | |

CLOSE

4. Select the applicable umbrella and click "Save".
5. If the Umbrella is not in the list, click 'Not in the List' and follow the prompt to add the Umbrella as a pool to the CPO's pool list.

Confirmation

Please ensure the Umbrella is listed and enter the relationship within the Umbrella questionnaire or click [here](#) to list the Umbrella as a pool. Without the Umbrella, the firm will not be able to identify this pool as a Series.

OK

6. Once the CPO successfully lists the Umbrella as a pool, the pool should appear in the drop-down. The CPO can then select it from the drop-down and click "Save".
7. Once the respective relationship is added, click "Save".



Note that this relationship can also be established through the Umbrella's pool questionnaire.