



CPO Help Guide: Filing Extensions and Notice Filings with NFA

A CPO should use EasyFile to request an extension for a pool annual report, or to file notices for the following:

- Change in a pool's accountant, pursuant to CFTC Regulation 1.16(g)
- Change in a pool's Fiscal Year End, pursuant to CFTC Regulation 4.22(g)
- Relief to file an unaudited pool filing for Stub Period pursuant to CFTC Regulation 4.22(g)(2)(ii)

These instructions and screenshots will help CPOs create the filing, upload documents if applicable and submit the filing for NFA's review.

Navigate to [NFA Electronic Filings](#) and click on [EasyFile \(Pool Filers\)](#) under Commodity Pool Operators.

1. Scroll to the bottom of the EasyFile (Pool Filers) page and click on [EasyFile Extensions and Notice Filings](#).
2. Log on by entering your ORS ID and password;
3. From the Filing Index, click "Create Filing."

Filing Index

You are accessing a system containing U.S. Commodity Futures Trading Commission records. Your usage may be monitored, recorded, and subject to audit, and, by your use, you consent to monitoring and recording. Unauthorized use of the system is prohibited and subject to criminal and civil penalties. The Commission requires that you use a complex password for accessing Commission records and that you change your password at a regular interval. Click the End Date of a filing to Open, Enter, Submit, Amend, or Delete a filing.

NFA ID :

End Date	Form	Received Date	Version of Stmt	Status	Pool	Regulation Type
08-15-2018	Regulation Notice	08-15-2018 4:16 PM	1	Received		1.17(d)
08-11-2018	Regulation Notice	08-15-2018 1:27 PM	1	Received		1.17(h)
05-09-2018	Regulation Notice		1	Unsubmitted		
04-21-2018	Regulation Notice		1	Unsubmitted		

Create Filing

- Select the Form "Regulation Notice", which will default the Type to "Standard". Enter the End Date and click "Save". The End Date should be the date the request is created; however, please note that only one Notice can be filed for each End Date.

- The new Notice filing will be added to the Filing Index. Click on the End Date to open the Notice.

End Date	Form	Received Date	Version of Stmt	Status	Pool	Regulation Type
08-01-2018	Regulation Notice		1	Unsubmitted		
08-15-2018	Regulation Notice	08-15-2018 4:16 PM	1	Received		1.17(d)
08-11-2018	Regulation Notice	08-15-2018 1:27 PM	1	Received		1.17(h)
05-09-2018	Regulation Notice		1	Unsubmitted		

- Enter the "Beginning Date of Notice Impact", which should be the effective date if you are filing Notice to change the CPA or FYE. For extensions or Stub Period Relief, you should enter the date the request is created. Please note that only one Rule can be selected for each Notice.

Cover Page

08-01-2018 NFA ID :

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Beginning Date of Notice Impact:

CPO POOL NOTICE FILINGS

- 1.16(g) - Replacement of pool's CPA
- 4.22(f)(1) request for up to 90 days to file an annual PFS
- 4.22(f)(2) request for 90 day extension to file an annual PFS for a Fund of Funds
- 4.22(g) - Change in pool's FYE
- 4.22(g)(2)(ii) - Stub Period Relief

- Below the list of Notices, the firm should upload any applicable documents. For example, a CPO filing a 4.22(f)(1) extension request would upload both the firm letter and the CPA letter. Documents are required to be uploaded for all notices except for the Stub Period Relief.

Please upload all applicable documents, and then select 'Next' to identify the specific pools. If you are filing for Stub Period Relief, you do not need to upload any documents and can simply select 'Next' to identify the specific pools.

Browse...

OR

Drop files here

- Once done uploading documents, select "Next" to identify the specific pools for the Notice. Select the applicable pool(s) by clicking "Add," which will then open a drop down list of the applicable pools.

Pools

08-01-2018 NFA ID :

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CPO POOL NOTICE FILINGS

Add	POOL

Pools

Select Pool that applies to this Notice.

POOL --PLEASE SELECT--

← Previ
Next →

CPO POOL NC

9. Once the pool is selected, hit "Save" and the pool will appear in the list. Continue to add pools as applicable.
10. Click "Next" or "Submit Filing" to access the screen that displays whether or not errors were found. Correct errors, if applicable, by returning to the filing. Once there are no errors, click "Submit Filing" to submit the Notice to NFA.

Summary of Errors and/or Warnings

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

Submit Filing

Back To Filing

11. Click "Submit Filing" to access the Oath/Affirmation page. From this page, affirm the information in the filing and click "Submit".

Oath

08-01-2018

NFA ID :

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Save



Next ▶

I hereby affirm that, to the best of my knowledge and belief, the information contained in this filing is accurate and complete.

Name:

Name of Company:

Submit Filing

◀ Previous

Save



Next ▶

12. By returning to the Filing Index after reviewing the confirmation screen, authorized users will see both a Received Date and a status of Received associated with the submitted filing.