

## Pool Level Information

Identify the location where the pool is organized:

0214

----- Select Country ----- ▼

? Fiscal Year End (If other than 12/31, read help text for further requirements):

0001

12/31



If a commodity pool operator elects a fiscal year end other than the calendar year, it must give written notice of the election to all participants and file the notice pursuant to [CFTC Regulation §4.22\(g\)](#), with NFA via [EasyFile](#) within 90 calendar days after the pool's formation. If this notice is not given, the pool operator will be deemed to have elected the calendar year end as the pool's fiscal year end. The commodity pool operator must continue to use the elected fiscal year end for the pool unless it provides written notice of any proposed change to all participants and files such notice with NFA at least 90 days before the change.

Close help

? Is the pool a member of a Designated Contract Market (DCM)?

6020

☒ Yes ☐ No

Designated contract markets (DCMs) are boards of trade (or exchanges) that operate under the regulatory oversight of the CFTC, pursuant to Section 5 of the Commodity Exchange Act (CEA), 7 USC 7. DCMs are most like traditional futures exchanges, which may allow access to their facilities by all types of traders, including retail customers.

DCMs may list for trading futures or option contracts based on any underlying commodity, index or instrument. Part 38 of the CFTC's regulations, 17 CFR Part 38, details the procedures and requirements for operating as a board of trade (or exchange). See CFTC Reg 1.3 for additional details.

Identify the DCMs

? Is the pool a member of any Derivatives Clearing Organization?

6040

☒ Yes ☐ No

A derivatives clearing organization (DCO) is an entity that enables each party to an agreement, contract, or transaction to substitute, through novation or otherwise, the credit of the DCO for the credit of the parties; arranges or provides, on a multilateral basis, for the settlement or netting of obligations; or otherwise provides clearing services or arrangements that mutualize or transfer credit risk among participants.

A DCO that seeks to provide clearing services with respect to futures contracts, options on futures contracts, or swaps must register with the CFTC before it can begin providing such services. The Commission may exempt a DCO from registration for the clearing of swaps if the Commission determines that such DCO is subject to comparable, comprehensive supervision by appropriate government authorities in the DCO's home country.

See CFTC Reg 1.3 for additional details.

Identify the DCOs:

Is the pool a member of any registered Swap Execution Facility (SEF)?

6060

☒ Yes ☐ No

Identify the SEFs:

Is the pool a **publicly offered** pool?

*Publicly offered pool is a pool required to register their securities under the Securities Act of 1933.*

9754

☒ Yes ☐ No

9755

Is the pool an **Exchange-Traded Fund (ETF)**?

☒ Yes ☐ No

## 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:

0320

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



Does the RIC have a Controlled Foreign Corporation or Trading Subsidiary **that meets the definition of a 'commodity pool'**?

6140

☒ Yes ☐ No

See CFTC Regulation §4.10(d) for a definition of commodity pool.

Close help

Identify the CFC

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 Registered Investment Company (RIC):

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

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)

Is this Umbrella comprised of any Series that do not trade commodity interests? If so, the firm is only required to list those Series that trade commodity interests.

0464

☒ Yes ☐ No

Identify the Series

### Pool Identifiers

Firm indicated the pool is a Registered Investment Company and/or Exchange Traded Fund (ETF). Please add all ticker symbols for the pool.

Add/Edit/Delete the ticker symbols:

Add	Ticker Symbol

0201


Check if your pool does not have a ticker symbol.



? Add/Edit/Delete the CUSIP number:

A CUSIP or Committee on Uniform Securities Identification Procedures number identifies most financial instruments, including: stocks of all registered U.S. and Canadian companies, commercial paper, and U.S. government and municipal bonds. CUSIP numbers consist of nine characters (including letters and numbers).

[Close help](#)

Add 	CUSIP

Formation

Has the pool received funds, securities or other property for the purchase of an interest in the pool? *(This should include proprietary investments made into the pool.)*  ☒ Yes ☐ No

? Enter the date the pool **first received funds, securities or other property** for the purchase of an interest in the pool.



If an incorrect date was entered, then please contact NFA's Information Center for assistance.

[Close help](#)

List the percentage of the pool's Net Asset Value (NAV) that is made up of the **CPO's and its principals' proprietary funds**:

Indicate the number of participants in the pool:

Investment Activity

Has the pool placed its first trade in any financial instrument or made a direct investment into a pooled vehicle?

☒ Yes ☐ No

Enter the date the pool commenced trading:



Has the pool commenced **commodity interest trading** including making an investment in another **commodity pool**? *(See [CFTC Regulation §1.3](#) for the definition of commodity interest.)*

☒ Yes ☐ No

? Enter the date the pool commenced **commodity interest trading**:



If an incorrect date was entered, then please contact NFA's Information Center for assistance.

[Close help](#)

## Digital Asset Derivatives

Does the pool currently have a **direct** investment in **digital asset derivatives** (e.g., bitcoin/ether futures, options, or swaps, including perpetual futures or swaps)?  ☒ Yes ☐ No

Identify the exchange(s) where **digital asset derivatives** trading is conducted on behalf of the pool:

Name of Exchange(s):

[Click to Add/Edit/Delete Exchange\(s\) below:](#)

Exchange Name	Location
No Data	

Identify the types of **digital asset derivative** products traded by the pool (Respond to all):

☐ Bitcoin Futures

☐ Bitcoin Options

☐ Ether Futures

☐ Ether Options

☐ Micro Bitcoin Futures

☐ Perpetual futures/swaps

☒ Other

Enter type of other digital asset derivatives.



Enter the approximate percentage of the pool's total Net Asset Value (NAV) that is **currently** directly invested in **digital asset derivatives** (e.g., bitcoin/ether futures, options, or swaps, including perpetual futures or swaps):

If percentage is greater than 0 but less than 1%, round up to the next percentage.

[Close help](#)

Does the pool currently invest in other fund(s) that invest in **digital asset derivatives** (e.g., bitcoin/ether futures, options or swaps, including perpetual futures or swaps)? 6402 ☒ Yes ☐ No

? Enter the approximate percentage of the pool's total Net Asset Value (NAV) that is currently invested in other fund(s) that invest in **digital asset derivatives** (e.g., bitcoin/ether futures, options or swaps, including perpetual futures or swaps): 6213

If percentage is greater than 0 but less than 1%, round up to the next percentage.

[Close help](#)

### Spot Digital Assets

Does the pool currently have a **direct** investment in or **directly** hold **spot digital assets** (e.g., bitcoin, ether)? 6180 ☒ Yes ☐ No

? Enter the approximate percentage of the pool's total Net Asset Value (NAV) that is currently **directly** invested in or held in **spot digital assets** (e.g., bitcoin, ether): 6181

If percentage is greater than 0 but less than 1%, round up to the next percentage.

[Close help](#)

Identify the exchange(s)/custodian(s)/broker(s)/platform(s) where **spot digital assets** are currently invested or held on behalf of the pool: *If the pool self-custodies digital assets/uses a non-custodial wallet, add "Self-Custody" to the list.*

Name of Exchange(s)/Custodian(s)/Broker(s)/Platform(s):

Add <span>⊕</span>	Name	Location
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

Identify the types of **spot digital assets** the pool currently holds or has a direct investment in (Respond to all):

6182A ☐ Bitcoin

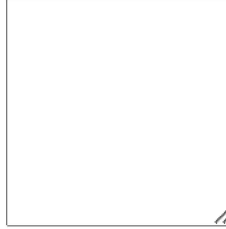
6182B ☐ Ether

6182E ☐ Stablecoin

6182C ☒ Other

6182G


Indicate what other type of **spot digital asset**.



Does the pool currently invest in other fund(s) that invest in or hold **spot digital assets** (e.g., bitcoin, ether)?

6404

☒ Yes ☐ No

 Enter the approximate percentage of the pool's total Net Asset Value (NAV) that is currently invested in other fund(s) that invest in or hold **spot digital assets** (e.g., bitcoin, ether):

6183

If percentage is greater than 0 but less than 1%, round up to the next percentage.

[Close help](#)

Does the pool engage in any other **spot digital asset** activity (e.g., lending, borrowing, staking or other yield-producing activities)?

6405

☒ Yes ☐ No

Identify the type of activity (Respond to all):

6406A

☐ Lending

6406B

☐ Borrowing

6406C

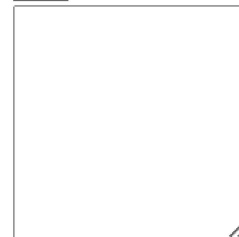
☐ Staking

6406D

☒ Other

6406E

Briefly explain the other type of **spot digital asset activities** the pool engages in.



## Solicitations

Has the firm provided participants with a disclosure document or placement memorandum for the pool?

9742

☒ Yes ☐ No

Enter the date of the pool's most recent disclosure document or placement memorandum provided to participants.

0003



Is this pool being offered as a vehicle invested in ESG (Environmental, Social, Governance) related products?

6245

☒ Yes ☐ No

## Pool Expenses

Check all fees charged to the pool by anyone during the last 12 months:

6250

☐ A percentage of pool assets under management

6260

☐ Performance-based fees

6270

☐ Administrative (organizational; operational fees)

6280

☐ Fixed fees (other than administrative)

6290

☐ Up-front fee

6300

☐ Brokerage fees

6310

☒ Other

Indicate type of fee

6330

☐ The pool was not charged any fees during the last 12 months