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INFORMATION CENTER
312-781-1410 or 800-621-3570
information@nfa.futures.org

CHICAGO
300 S. Riverside Plaza, #1800
Chicago, IL 60606
312-781-1300

NEW YORK
One New York Plaza, #4300
New York, NY 10004
212-608-8660
ABOUT NFA

NFA is the industrywide, self-regulatory organization for the U.S. derivatives industry, including on-exchange traded futures, retail off-exchange foreign currency (forex) and OTC derivatives (swaps). Designated by the Commodity Futures Trading Commission (CFTC) as a registered futures association, NFA strives every day to safeguard the integrity of the derivatives markets, protect investors and ensure Members meet their regulatory responsibilities.

NFA membership includes swap dealers (SD), futures commission merchants (FCM), commodity pool operators (CPO), commodity trading advisors (CTA), retail foreign exchange dealers (RFED), introducing brokers (IB) and the associated persons (AP) of FCMs, CPOs, CTAs and IBs.

WHAT WE DO

REGISTRATION SCREENING
NFA thoroughly screens CFTC registration and NFA membership applicants to ensure they meet stringent fitness and proficiency requirements. NFA has the authority to deny, revoke, suspend or restrict any firm or individual’s registration. The CFTC has delegated registration responsibility to NFA.

COMPLIANCE RULES
NFA adopts and enforces rules covering the business conduct of its Members including sales practices, recordkeeping, reporting, risk disclosure, discretionary trading, disclosure of fees and minimum capital requirements. NFA monitors its Members for compliance with its rules by performing risk-based examinations, reviewing Member filings, conducting financial surveillance and investigating customer complaints.

RULE ENFORCEMENT
NFA takes disciplinary actions against Members who violate NFA rules and CFTC regulations. These actions range from Warning Letters for minor rule infractions to formal Complaints. Penalties resulting from Complaints include expulsion, suspension, and fines up to $250,000 per violation. NFA frequently collaborates with the CFTC, FBI and other law enforcement agencies, to ensure full, comprehensive prosecutions.

MEMBER EDUCATION
NFA provides educational resources, including webinars, workshops and reference materials to ensure Members understand their regulatory obligations.

MARKET REGULATION
NFA provides regulatory services to designated contract markets (DCM) and swap execution facilities (SEF), each of which has self-regulatory responsibilities to monitor trading on its platform.

INVESTOR PROTECTION
NFA offers a number of resources to educate investors. Before participating in the derivatives markets, investors should understand how the markets work and perform background checks of firms and individuals offering investments.

INVESTOR RESOURCES
BASIC: NFA provides an online tool that offers important registration and disciplinary background information on firms and professionals in the derivatives industry.

Investor Outreach: NFA issues newsletters and advisories, and delivers webinars for investors.

Dispute Resolution: NFA offers an affordable and efficient arbitration program to help customers and Members resolve futures and forex-related disputes.

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