



## RFED Reporting Requirements

Description	When	Information Required	How
<a href="#">Forex Daily Report</a>	Daily, due by noon on the next business day	Customer funds on deposit and where they are held, Customer open positions, amount due to customers, names of counterparties. Qualifying institutions holding assets used to cover the firm's liabilities owed to its retail forex customers must report the balances in the firm's account(s) held at the qualifying institution to NFA on a daily basis. See <a href="#">NFA Financial Requirement Section 13</a> for specific reports required.	<a href="#">Web-based electronic filing</a>
<a href="#">Forex Monthly Report</a>	Monthly, due within 17 business days of month end	Operational information, specifically number of retail and ECP forex customers, as well as how many customers are active, US domiciled or foreign domiciled. See <a href="#">NFA Financial Requirement Section 13</a> for specific reports required.	<a href="#">Web-based electronic filing</a>
<a href="#">Forex Quarterly Report</a>	Quarterly, due within 17 business days of quarter end. This is based off the calendar year, not the firm's FYE.	Performance disclosures required by <a href="#">CFTC Regulation 5.5(e)(1)(i)-(iii)</a> . Including the total number of non-discretionary retail forex customer accounts maintained by the RFED for the prior quarter, indicating the percentage that were profitable vs. non-profitable. See <a href="#">NFA Financial Requirement Section 13</a> for specific reports required.	<a href="#">Web-based electronic filing</a>
Daily Trade Data Reports ("FORTRESS")	Daily, due by 11:59 p.m. the same day	Each member must file a daily electronic report of trade data containing the data and be in the format prescribed by NFA. The information must be prepared as of 5:00 p.m. and filed with NFA by 11:59 p.m. the same day. See <a href="#">NFA Compliance Rule 2-48</a> for specific reports required.	Forex Transaction Reporting Execution Surveillance System (FORTRESS)
Financial Reports (unaudited)	Monthly, due within 17 business days of month end	See CFTC Regulation <a href="#">1.10(d)(1)</a> for the specific reports required	<a href="#">WinJammer</a>
Certified Financial Reports(audited)	Annually <a href="#">1-FR-FCM</a> due 90 days after fiscal year end; <a href="#">FOCUS</a> due 60 days after fiscal year end	See CFTC Regulation <a href="#">1.10(d)(2)</a> for the specific reports required	Mail *
Notice of undercapitalization	If applicable	Immediate notification when capital falls below level set in <a href="#">NFA Financial Requirements Section 12</a> . A <a href="#">1-FR-FCM/FOCUS</a> must follow within 24 hours as required by <a href="#">CFTC Regulation 5.6(a)</a> .	Notification by telephone, confirm by fax or <a href="#">WinJammer</a> , fax statement or file via <a href="#">WinJammer*</a>

<b>Description</b>	<b>When</b>	<b>Information Required</b>	<b>How</b>
Non-current books and records	If applicable	Same day notification. Written report stating corrective action due within 48 hours as required by <a href="#">CFTC Regulation 5.6(c)</a> .	Fax or <a href="#">WinJammer</a> **^
Substantial reduction in capital	If applicable	Within 2 business days of the reduction in accordance with <a href="#">CFTC Regulation 5.6(f)(1) or (f)(2)</a> .	Mail or <a href="#">WinJammer</a> **^
Forex liabilities owed to customers exceeds forex assets	If applicable	Immediate notification required in accordance with <a href="#">CFTC Regulation 5.6(g)</a> .	Notification by telephone, confirm by fax or WinJammer, fax statement or file via <a href="#">WinJammer</a> **^
Adjusted net capital falls below the early warning requirement/eligibility to guarantee IBs requirement	If applicable	Notification within 24 hours in accordance with <a href="#">CFTC Regulation 5.6(b)</a> .	Mail or <a href="#">WinJammer</a> **^
Risk Management Program^^	As applicable (submitted on January 4, 2016 and thereafter upon request)	Policies and procedures designed to monitor and manage the risks associated with the activities of the FDM. See <a href="#">NFA Compliance Rule 2-36</a> for further information.	<a href="#">WinJammer</a>
Risk Exposure Reports^^	Quarterly and whenever a material change occurs	Report must be filed within five business days of providing to the FDM's senior management. See <a href="#">NFA Compliance Rule 2-36</a> for further information.	<a href="#">WinJammer</a>
Chief Compliance Officer Report^^	Annually	Report must be filed within 90 days after the FDM's fiscal year end. See <a href="#">NFA Compliance Rule 2-36</a> for further information.	<a href="#">WinJammer</a>
Material inadequacies noted by CPA in audited financials	If applicable	Notification within 24 hours. Written report stating corrective action due within 48 hours in accordance with <a href="#">CFTC Regulation 5.6(d)</a> .	Fax or <a href="#">WinJammer</a> **^
Request to change fiscal year end, or Request extension of time to file financial reports	If applicable	File a copy of request and NFA's response with regional CFTC. If firm is also registered as a B/D, must file request and DEA response with NFA and regional CFTC in accordance with <a href="#">CFTC Regulation 5.12(f) and (g)</a> .	Mail or <a href="#">WinJammer</a>
Change in security deposit amounts established by the FDM	If applicable	The FDM is required to immediately notify NFA if the FDM changes the security deposit amount established for a particular currency pair being offered to retail forex customers. See <a href="#">NFA Financial Requirement Section 12(f)</a> for further information.	<a href="#">WinJammer</a>
Bulk Transfers	If applicable	At least five business days in advance of a transfer, the RFED must provide notice under certain conditions. See <a href="#">CFTC Regulation 5.23</a> for further information.	
<a href="#">Subordinated loan agreements</a> standard forms are available from NFA	If applicable	The loan, and all changes and amendments, must be approved by NFA before the effective date. If approved by DEA, please file approval letter with NFA.	Mail *

Description	When	Information Required	How
<a href="#">NFA Questionnaire</a>	Annually, to coincide with annual dues	NFA sends a yearly questionnaire.	<a href="#">Web-based electronic filing</a>

For further information, see [NFA Financial Requirement Sections 1, 2, 11 – 15](#), [NFA Compliance Rule 2-11, 2-36 and 2-48](#), <http://www.nfa.futures.org>, or CFTC Regulations 1.10, 5.23, 5.6 – 5.9. See <http://www.cftc.gov/ucm/groups/public/@iointermediaries/documents/file/1fr-fcminstructions.pdf> for 1-FR-FCM instructions.

- \* An RFED must also make a similar filing with its regional CFTC office and the CFTC main office.
- ^ An RFED must also make a similar filing with its designated self-regulatory organization and the SEC, if applicable.
- ^^.An RFED must comply with this requirement beginning January 4, 2016.

Reporting for firms located in DC, DE, ME, MA, NH, NJ, NY, RI, VT or WV:

Address for reporting: National Futures Association, Attention Compliance Dept., One New York Plaza, Suite 4300, New York, NY 10004  
Phone (212) 608-8660, fax (212) 964-3913

Reporting for all other firms:

Address: National Futures Association, Attention Compliance Dept., 300 S. Riverside Plaza, Suite 1800, Chicago, IL 60606-6615  
Phone (312) 781-1300, fax (312) 781-1467