

COMMODITY FUTURES TRADING COMMISSION NATIONAL FUTURES ASSOCIATION FORM 8-W

*Request for withdrawal from registration as
a Floor Broker or Floor Trader.*

WITHDRAWAL FROM REGISTRATION AS A FLOOR BROKER AND/OR FLOOR TRADER

1 Registrant for which withdrawal is being requested.

NAME _____

NFA ID# _____ SOCIAL SECURITY #¹ — — _____

DATE OF BIRTH: (MM/DD/YY)¹ / / PLACE OF BIRTH¹: CITY STATE _____

2 Request for withdrawal as (Check category for which withdrawal is requested. If withdrawal is for both categories, and the basis for withdrawal is not the same for each category, provide the basis for withdrawal for each category on a supplemental sheet):

- Floor Broker Floor Trader

3 Residence Address (P.O. Box Not Acceptable).¹

STREET _____

CITY _____ STATE/COUNTRY _____ ZIP CODE _____

4 Address to which registration related mailings and correspondence should be directed.

STREET ADDRESS _____

ADDRESS _____

CITY _____ STATE/COUNTRY _____ ZIP CODE _____

5 Location of your business records and those records required to be kept by regulations under the Commodity Exchange Act.

STREET ADDRESS (P.O. BOX NOT ACCEPTABLE) _____

ADDRESS _____

CITY _____ STATE/COUNTRY _____ ZIP CODE _____

TELEPHONE () _____
AREA CODE

6 Basis for withdrawal request (Check where applicable):

- I have not commenced engaging in activities requiring registration.
- I have ceased engaging in activities requiring registration. The date activities ceased was: / /
MM DD YY
- I will cease engaging in activities requiring registration. The date activities will cease is: / /
MM DD YY

¹May be submitted on a supplemental sheet.

FORM 8-W (6-97) PREVIOUS EDITIONS OBSOLETE

7 Under CFTC Regulation 3.33 the withdrawal will become effective 30 days from the date of NFA's receipt of the request unless the Commission denies, conditions, postpones or expedites the withdrawal. Does registration need to be withdrawn at a date other than 30 days from NFA's receipt of this request?

Yes No

If YES, Requested Date: _____ (If withdrawal is requested fewer than 30 days from NFA's receipt of the request, such a request must include an attachment explaining the reasons for expediting the request.)

ATTACHED

8 If the withdrawal request is **based on the registrant having ceased engaging in activities requiring registration as a floor broker**, then :

A. Have all customer or option customer agreements, if any, been terminated **or** have all customer or option customer positions, if any, been transferred on behalf of customers or options customers or closed? YES NO*

If "transferred" list recipient.

*Furnish full details on supplemental sheet(s)

B. Are there any pending customer, option customer, leverage customer or commodity pool participant claims against the registrant, and, to the best of the registrant's knowledge and belief, are there any anticipated or threatened customer, option customer, leverage customer or commodity pool participant claims against the registrant? YES NO

B1. If yes, attach a statement setting forth in full the nature and extent of all such pending or anticipated or threatened claims and what provisions have been made by the registrant to satisfy such claims. ATTACHED

CERTIFICATION

I certify that I will make all my books and records available in accordance with CFTC Regulation 1.31. Also, I have read and understand the foregoing and represent that all information contained or incorporated in this form, including any attachments hereto, is accurate and complete.

PRINT NAME _____

SIGNATURE _____ DATE _____

WILLFUL FALSIFICATION, MISREPRESENTATION OR OMISSION OF ANY MATERIAL FACT REQUIRED TO BE STATED ON THIS FORM CONSTITUTES CAUSE FOR DENIAL, SUSPENSION OR REVOCATION OF REGISTRATION AND PROSECUTION UNDER CRIMINAL STATUTES OF THE INDIVIDUAL AND FIRM MAKING THE ABOVE CERTIFICATION.

INSTRUCTIONS

1 Where to file. Send this form to National Futures Association, 320 South Canal, Suite 2400, Chicago, Illinois 60606. A copy must also be sent to each contract market on which the individual has been granted trading privileges.

2 This form is for use by individuals who are requesting withdrawal from floor broker or floor trader registration and who will continue to have granted trading privileges on at least one designated contract market. Individuals who no longer have granted trading privileges on any designated contract market should not file this form as floor broker or floor trader registration terminates once an individual no longer has granted trading privileges.