

# TEMPLATE: DO NOT SEND TO NFA

## NFA | FIRM DISCLOSURE MATTER PAGES

### Instructions for Using the Firm Disclosure Matter Page Templates

**READ THESE INSTRUCTIONS CAREFULLY BEFORE COMPLETING OR REVIEWING THE DISCLOSURE MATTER PAGE (DMP). THE FAILURE TO ACCURATELY COMPLETE THE DMP OR THE OMISSION OF REQUIRED INFORMATION MAY RESULT IN THE DENIAL OR REVOCATION OF REGISTRATION. THE FAILURE TO DISCLOSE A DISCIPLINARY MATTER EITHER IN AN APPLICATION OR AN UPDATE WILL RESULT IN THE IMPOSITION OF A LATE DISCLOSURE FEE IN ACCORDANCE WITH NFA REGISTRATION RULE 210(c).**

**Do not send this document to NFA. It is a template that may be used to assist in filing the electronic version in NFA's DMP Filing System.**

**You may fill out the template online and save and/or print it when you are finished or you can download the template and/or print it and fill it out later.**

**Please note that a sole proprietor will only file Individual DMPs to report his/her Form 7-R and Form 8-R disclosures and therefore should use the [Individual DMP templates](#).**

For each matter that caused a "Yes" answer to a Disciplinary Information Disclosure Question, a DMP, which is accessible using NFA's DMP Filing System, must be filed. In addition to the required DMP, other documents about the matter must be provided to NFA. If court documents are unavailable, a certified letter from the court verifying that must be sent to NFA. If documents other than court documents are unavailable, a written explanation for their unavailability must be provided. Electronic copies of the documents can be uploaded using NFA's DMP Filing System, or documents may be emailed to [registration@nfa.futures.org](mailto:registration@nfa.futures.org), faxed to (312) 559-3411 or mailed to NFA Registration Department, 300 S. Riverside Plaza, Suite 1800, Chicago, IL 60606. If submitting documents by mail, email or fax, please include the name and NFA ID of the firm with the submission.

Please note you cannot access the DMP Filing System for a firm until after you have filed the firm's Form 7-R.

Providing all documents to NFA is important. Failure to do so will delay the registration process and may result in the denial or revocation of registration.

### **DEFINED TERMS**

Words that are underlined in this template are defined terms. If viewing this template on NFA's website, click the underlined terms to see their meanings. If viewing a hardcopy of the template, please refer to the [Definition of Terms section in the Form 7-R template](#) for their meanings.

### **ADDITIONAL ASSISTANCE**

Additional information regarding registration requirements and specific topics can be found on the Registration page of NFA's website at [www.nfa.futures.org](http://www.nfa.futures.org). NFA's Information Center, (800-621-3570 or 312-781-1410), is also available to provide assistance. Its normal hours are Monday through Friday, from 8:00 a.m. to 5:00 p.m., CT.

# Form 7-R Disciplinary Information Disclosure Questions

Applicants answer the Disciplinary Information Disclosure Questions in the Form 7-R application. They are included in this DMP template solely as a reference.

## Criminal Disclosures

### Question A.

Has the firm ever pled guilty or nolo contendere (“no contest”) to or been convicted or found guilty of any felony in any U.S., non-U.S. or military court?

### Question B.

Has the firm ever pled guilty to or been convicted or found guilty of any misdemeanor in any U.S., non-U.S. or military court which involves:

- embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or
- violation of sections 7203, 7204, 7205 or 7207 of the Internal Revenue Code of 1986; or
- violation of sections 152, 1341, 1342, or 1343 or chapters 25, 47, 95 or 96 of the U.S. Criminal Code; or
- any transaction in or advice concerning futures, options, leverage transactions or securities?

### Question C.

Is there a charge pending, the resolution of which could result in a “Yes” answer to the above questions?

## Regulatory Disclosures

### Question D.

In any case brought by a U.S. or non-U.S. governmental body (other than the CFTC), has a court ever permanently or temporarily enjoined the firm after a hearing or default or as the result of a settlement, consent decree or other agreement, from engaging in or continuing any activity involving:

- any transaction in or advice concerning futures, options, leverage transactions or securities; or
- embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property?

### Question E.

In any case brought by a U.S. or non-U.S. governmental body (other than the CFTC), has the firm ever been found after a hearing or default or as the result of a settlement, consent decree or other agreement, to:

- have violated any provision of any investment-related statute or regulation thereunder; or
- have violated any statute, rule, regulation or order which involves embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or
- have willfully aided, abetted, counseled, commanded, induced or procured such violation by any other person; or
- have failed to supervise another person's activities under any investment-related statute or regulation thereunder?

### Question F.

Has the firm ever been debarred by any agency of the U.S. from contracting with the U.S.?

### Question G.

Has the firm ever been the subject of any order issued by or a party to any agreement with a U.S. or non-U.S. regulatory authority (other than the CFTC), including but not limited to a licensing authority, or self-regulatory organization (other than NFA or a U.S. futures exchange) that prevented or restricted the firm's ability to engage in any business in the financial services industry?

### Question H.

Are any of the orders or other agreements described in Question G currently in effect against the firm?

### Question I.

Is the firm a party to any action, the resolution of which could result in a "Yes" answer to the above questions?

## Financial Disclosures

### Question J.

Has the firm ever been the subject of an adversary action brought by a U.S. bankruptcy trustee?

# Disciplinary Information - Firm Criminal Disclosure Matter Page

Firm Name: \_\_\_\_\_

NFA ID#: \_\_\_\_\_

Please file a separate Disclosure Matter Page (DMP) for each criminal case.

## Disclosure Questions

**Completing this section does not update answer(s) to the Criminal Disclosure question(s). To update the Criminal Disclosure questions, click the appropriate link on the View/Update Registration Information – Entity Profile Information screen in NFA's Online Registration System.**

Check the question(s) you are disclosing the criminal action under\*. To view the text of the questions, refer to the Form 7-R Disciplinary Information Disclosure Questions section at the beginning of this document.

A  B  C

## Criminal Case Information

### Court Type and Filing Date

Court in which formal charge(s) were filed (check one)\*:

Federal Court

State/County Court

Military Court

Non-U.S. Court

Other: \_\_\_\_\_

Date formal charge(s) were filed in court via indictment, information, criminal complaint or equivalent instrument containing an accusation of a crime\*:

Month \_\_\_\_\_ Year \_\_\_\_\_

**Court Information**

Name of Court (e.g., Cook County, Illinois Circuit Court)\*: \_\_\_\_\_

City or County\*^: \_\_\_\_\_

State (United States only)\*: \_\_\_\_\_

Country\*: \_\_\_\_\_

**Case Information**

Case Number\*: \_\_\_\_\_

Case Status\*:

- Pending     On Appeal     Final

Charge Details

You must complete a charge details section for each disclosable charge in the criminal case. For example, if the firm pled guilty to and was convicted of felony mail fraud and felony wire fraud, you would complete two charge details sections. If you need more than three charge details sections, complete the information in another document and attach it to this document.

Formal Charge Description\*: \_\_\_\_\_

Classification (check one)\*:

- Felony     Misdemeanor     Other: \_\_\_\_\_

Plea Entered (check one)\*:

- Not Guilty  
 Guilty  
 No Contest/Nolo Contendere  
 No Plea Entered  
 Other: \_\_\_\_\_

## Charge Details (cont.)

Disposition (check one)\*:

Convicted/Found Guilty

Other (Requires Explanation): \_\_\_\_\_

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Formal Charge Description\*: \_\_\_\_\_

Classification (check one)\*:

Felony     Misdemeanor     Other: \_\_\_\_\_

Plea Entered (check one)\*:

Not Guilty

Guilty

No Contest/Nolo Contendere

No Plea Entered

Other: \_\_\_\_\_

Disposition (check one)\*:

Convicted/Found Guilty

Other (Requires Explanation): \_\_\_\_\_

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Formal Charge Description\*: \_\_\_\_\_

Classification (check one)\*:

Felony     Misdemeanor     Other: \_\_\_\_\_

Plea Entered (check one)\*:

Not Guilty

Guilty

No Contest/Nolo Contendere

No Plea Entered

Other: \_\_\_\_\_

## Charge Details (cont.)

Disposition (check one)\*:

- Convicted/Found Guilty
- Other (Requires Explanation): \_\_\_\_\_

## Comments

Use this field to provide a summary of the circumstances surrounding the charge(s), the current status or final disposition including sentencing/penalty information. There is a 4,000 character limit.\*

## Supporting Documentation

Supporting documentation must be provided if not previously submitted. This includes but is not limited to the information/indictment, superseding indictments, plea agreement or findings by jury, judgment, sentencing and/or probation order, proof of satisfaction of sentence, and the final disposition of the court. If court documentation is no longer available, please submit a certified letter from the applicable court providing the reason the documentation is not on file.

Supporting documentation may be provided electronically using the upload function in the DMP Filing System (only .pdf, .doc, .docx, .txt, and .tif document types are allowed), or may be emailed to [registration@nfa.futures.org](mailto:registration@nfa.futures.org), faxed to 312-559-3411, or mailed to NFA Registration Department, 300 S. Riverside Plaza, Suite 1800, Chicago, IL 60606. If submitting documents by mail, email or fax, please include the name and NFA ID of the firm with the submission.

\*Required to file DMP.

^Required to file DMP if the Court is located in the United States.

# Disciplinary Information - Firm Regulatory Disclosure Matter Page

Firm Name: \_\_\_\_\_

NFA ID#: \_\_\_\_\_

Please file a separate Disclosure Matter Page (DMP) for each regulatory action. A regulatory action may be reportable under more than one regulatory disclosure question. If the same conduct/event resulted in more than one regulatory action, provide details for each action on a separate Disclosure Matter Page.

## Disclosure Questions

**Completing this section does not update answer(s) to the Regulatory Disclosure question(s). To update the Regulatory Disclosure questions, click the appropriate link on the View/Update Registration Information – Entity Profile Information screen in NFA’s Online Registration System.**

Check the question(s) you are disclosing the regulatory action under\*. To view the text of the questions, refer to the Form 7-R Disciplinary Information Disclosure Questions section at the beginning of this document.

D  E  F  G  H  I

## Regulatory Case Information

Regulatory/Civil Action initiated by (check one)\*:

SEC

Other Federal Agency: \_\_\_\_\_

State Agency: \_\_\_\_\_

FINRA

Other Self-Regulatory Organization: \_\_\_\_\_

Non-U.S. Regulator: \_\_\_\_\_



## Regulatory Case Information (cont.)

Case Number\*: \_\_\_\_\_

Case Status\*:

Pending     On Appeal     Final

Action appealed to (check one)\*:

Federal/State Court: \_\_\_\_\_

SEC

Other Federal Agency: \_\_\_\_\_

State Agency: \_\_\_\_\_

FINRA

Other Self-Regulatory Organization: \_\_\_\_\_

Non-U.S. Regulator: \_\_\_\_\_

Are there any limitations or restrictions currently in effect while on appeal?\*

Yes     No

Please provide details\*

## Regulatory Case Information (cont.)

Enter date initiated if the case status is pending, date appeal filed if the case status is on appeal, and date resolved if the case status is final.

Date Initiated/Appeal Filed/Resolved\*:

Month \_\_\_\_\_ Year \_\_\_\_\_

Were any of the following sanctions imposed? (check all that apply)\*^:

Bar (Temporary/Permanent)

Prohibition

Debarment from contracting with the U.S.

Requalification by Exam

Restrictions/Conditions

Denial

Expulsion

Revocation

Suspension

Injunction (Preliminary/Permanent)

Other: \_\_\_\_\_

## Comments

Use this field to provide a summary of the circumstances surrounding the action and/or additional sanction information. There is a 4,000 character limit.

## Supporting Documentation

Supporting documentation must be provided if not previously submitted. This includes but is not limited to the complaint, settlement offer and final order/judgment.

Supporting documentation may be provided electronically using the upload function in the DMP Filing System (only .pdf, .doc, .docx, .txt, and .tif document types are allowed), or may be emailed to [registration@nfa.futures.org](mailto:registration@nfa.futures.org), faxed to 312-559-3411, or mailed to NFA Registration Department, 300 S. Riverside Plaza, Suite 1800, Chicago, IL 60606. If submitting documents by mail, email or fax, please include the name and NFA ID of the firm with the submission.

\*Required to file DMP.

^Required to file DMP if the case status is final.

## Disciplinary Information - Firm Financial Disclosure Matter Page

Firm Name: \_\_\_\_\_

NFA ID#: \_\_\_\_\_

Please file a separate Disclosure Matter Page (DMP) for each action.

### Disclosure Question

**Completing this section does not update the answer to the Financial Disclosure question. To update the Financial Disclosure question, click the appropriate link on the View/Update Registration Information – Entity Profile Information screen in NFA’s Online Registration System.**

Check the question you are disclosing the financial matter under\*. To view the text of the question, refer to the Form 7-R Disciplinary Information Disclosure Questions section at the beginning of this document.

J

### Bankruptcy Case Information

United States Bankruptcy Court (USBC) location where the related bankruptcy case was filed (e.g., Northern District of Illinois)\*: \_\_\_\_\_

Case Number: \_\_\_\_\_

### Adversary Case Information

Court where the adversary action was filed (check one)\*:

USBC       United States District Court

Court Location (e.g., Northern District of Illinois)\*: \_\_\_\_\_

Case Number of Adversary Action\*: \_\_\_\_\_

## Adversary Case Information (cont.)

Adversary Action Status (check one)\*:

Pending       On Appeal       Final

Adversary Action Final Disposition (check one)\*^:

Settled       Dismissed       Judgment       Other: \_\_\_\_\_

Enter date initiated if the adversary action status is pending, date appeal filed if the adversary action status is on appeal, and date resolved if the adversary action status is final.

Date Initiated/Appeal Filed/Resolved\*:

Month \_\_\_\_\_ Year \_\_\_\_\_

## Comments

Use this field to provide a summary of the circumstances leading to the adversary action as well as status/disposition details. There is a 4,000 character limit.

## Supporting Documentation

Supporting documentation for each adversary action must be provided if not previously submitted. This includes the complaint and final disposition for each adversary action.

Supporting documentation may be provided electronically using the upload function in the DMP Filing System (only .pdf, .doc, .docx, .txt, and .tif document types are allowed), or may be emailed to [registration@nfa.futures.org](mailto:registration@nfa.futures.org), faxed to 312-559-3411, or mailed to NFA Registration Department, 300 S. Riverside Plaza, Suite 1800, Chicago, IL 60606. If submitting documents by mail, email or fax, please include the name and NFA ID of the firm with the submission.

\*Required to file DMP.

^Required to file DMP if the adversary action status is final.