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, 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. 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.
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?
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_______________________________________
Criminal Case Information (cont.)

**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): ____________________________

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): ____________________________

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): ________________________________

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, 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:______________________________________________________________
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.

```markdown
# 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.

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- Firm Regulatory Disclosure Matter Page

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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, 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 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.

[Blank space for comments]
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, 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.