

## CPO (Commodity Pool Operator) Attestation Form

Please be advised that \_\_\_\_\_  
(Name on Account or Account Title)

Account # \_\_\_\_\_

Please check the item(s) that apply to your account:

**Entity is not a pool.** (Note: A Commodity Pool is defined as an entity in which funds contributed by two or more unrelated persons are combined for the purpose of trading commodity futures contracts or futures options, or foreign currency, or to invest in another commodity pool.)

**Entity is a Pool, and ...**

Entity is currently registered as a Commodity Pool Operator. NFA ID # \_\_\_\_\_ and please attach a copy of the current disclosure document.

...OR...

Entity has filed a Commodity Pool Operator exemption with NFA ID # \_\_\_\_\_ based on the following:

(a)  Entity is foreign in origin and has no presence in the U.S. and all participants and funds contributed are foreign and do not originate from the U.S.

(b)  Pursuant to section 4.13 (a) (2) of the Commodity Exchange Act, which states that a person or entity is not required to register under the Act as CPO if (a) the total group capital contributions it receives for units of participation in all of the pools that it operates or intends to operate do not aggregate exceeded \$400,000, and (b) none of the pools it operates has more than 15 participants at a time.

X \_\_\_\_\_ X \_\_\_\_\_  
Signature Title Signature Title

\_\_\_\_\_  
Printed Name Date Printed Name Date

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