

MEMO# 27286

June 7, 2013

ICI and IAA Submit Proposed FAQs to the CFTC and NFA on Forms CPO-PQR, CTA-PR, NFA Form PQR, and NFA Form PR

[27286]

June 7, 2013

TO: DERIVATIVES MARKETS ADVISORY COMMITTEE No. 45-13
SEC RULES MEMBERS No. 54-13
CLOSED-END INVESTMENT COMPANY MEMBERS No. 49-13
COMPLIANCE MEMBERS No. 26-13
INVESTMENT ADVISER MEMBERS No. 38-13
ACCOUNTING/TREASURERS MEMBERS No. 18-13 RE: ICI AND IAA SUBMIT PROPOSED FAQs TO THE CFTC AND NFA ON FORMS CPO-PQR, CTA-PR, NFA FORM PQR, AND NFA FORM PR

Today, ICI and the Investment Adviser Association submitted to the staffs of the Commodity Futures Trading Commission ("CFTC") and the National Futures Association ("NFA") proposed questions and answers regarding Forms CPO-PQR, CTA-PR, NFA Form PQR, and NFA Form PR ("FAQ"). The proposed FAQ, which is attached to this memorandum, contains over 56 questions, and reflects extensive member input. We will keep you apprised regarding any feedback we hear from the CFTC and NFA staffs on the FAQ.

Sarah A. Bessin
Senior Counsel

[Attachment](#)