

MEMO# 32505

June 3, 2020

NFA Notice to Members on Changes to Self-Examination Questionnaire

[32505]

June 3, 2020 TO: Registered Fund CPO Advisory Committee RE: NFA Notice to Members on Changes to Self-Examination Questionnaire

NFA has published a Notice to Members (NTM) regarding recent changes to its self-examination questionnaire.^[1] NFA recently revised the questionnaire to reflect rule amendments that became effective over the past year. As described in the NTM, NFA recognizes that a number of its members may currently be operating with limited resources and has therefore developed [Self-Examination Questionnaire Revision Notes](#), a comprehensive document that specifies recent changes to the questionnaire. NFA reminds members that they must review the entire questionnaire on an annual basis and should use the updated version when completing their next annual review.

As you know, registered fund commodity pool operators (CPOs) are not subject to all NFA rules applicable to CPOs. We have included a link, below, for your reference, to our 2012 letter to NFA, which notes certain of these provisions.^[2]

Please contact Sarah (sarah.bessin@ici.org) or Rachel (rgraham@ici.org) if you have any questions.

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endnotes

^[1] *Recent changes to NFA's Self-Examination Questionnaire*, Notice I-20-22 (June 2, 2020), available at <https://www.nfa.futures.org/news/newsNotice.asp?ArticleID=5237>.

^[2] Letter to Mr. Daniel A. Driscoll, Executive Vice President, Chief Operating Officer, and Mr. Thomas W. Sexton, III, Senior Vice President, General Counsel and Secretary, National

Futures Association, from Karrie McMillan, General Counsel, Investment Company Institute, dated Dec. 28, 2012, *available at* <https://www.ici.org/pdf/26810.pdf>.

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