


Pool Level Information

Identify the location where the pool is organized: ▼

? Fiscal Year End (If other than 12/31, read help text for further requirements):



If a commodity pool operator elects a fiscal year end other than the calendar year, it must give written notice of the election to all participants and file the notice pursuant to [CFTC Regulation §4.22\(g\)](#), with NFA via [EasyFile](#) within 90 calendar days after the pool's formation. If this notice is not given, the pool operator will be deemed to have elected the calendar year end as the pool's fiscal year end. The commodity pool operator must continue to use the elected fiscal year end for the pool unless it provides written notice of any proposed change to all participants and files such notice with NFA at least 90 days before the change.

Close help

? Is the pool a member of a Designated Contract Market (DCM)?

Yes No

Designated contract markets (DCMs) are boards of trade (or exchanges) that operate under the regulatory oversight of the CFTC, pursuant to Section 5 of the Commodity Exchange Act (CEA), 7 USC 7. DCMs are most like traditional futures exchanges, which may allow access to their facilities by all types of traders, including retail customers.

DCMs may list for trading futures or option contracts based on any underlying commodity, index or instrument. Part 38 of the CFTC's regulations, 17 CFR Part 38, details the procedures and requirements for operating as a board of trade (or exchange).

Identify the DCMs

? Is the pool a member of any Derivatives Clearing Organization?

Yes No

A derivatives clearing organization (DCO) is an entity that enables each party to an agreement, contract, or transaction to substitute, through novation or otherwise, the credit of the DCO for the credit of the parties; arranges or provides, on a multilateral basis, for the settlement or netting of obligations; or otherwise provides clearing services or arrangements that mutualize or transfer credit risk among participants.

A DCO that seeks to provide clearing services with respect to futures contracts, options on futures contracts, or swaps must register with the CFTC before it can begin providing such services. The Commission may exempt a DCO from registration for the clearing of swaps if the Commission determines that such DCO is subject to comparable, comprehensive supervision by appropriate government authorities in the DCO's home country.

See CFTC Reg 1.3 for additional details.

Identify the DCOs:

Is the pool a member of any registered Swap Execution Facility (SEF)?

Yes No

Identify the SEFs:

Is the pool a **publicly offered** pool?

Publicly offered pool is a pool required to register their securities under the Securities Act of 1933.

Yes No

Is the pool an **Exchange-Traded Fund (ETF)**?

Yes No

Pool Type and Relationships

Check all that apply to this pool and identify relationships when applicable:

0161

Master fund (a pool in which its only investors are other pools operated by the same firm or an affiliate)

Identify the Feeder Fund:

0320

Registered Investment Company (as defined under the Investment Company Act of 1940)

Does the RIC have a Controlled Foreign Corporation or Trading Subsidiary **that meets the definition of a 'commodity pool'**?

6140

Yes No

See CFTC Regulation §4.10(d) for a definition of commodity pool.

Close help

Identify the CFC

0310

Controlled Foreign Corporation or Trading Subsidiary (which is **wholly owned** by a listed pool)

Is the pool wholly owned by a Registered Investment Company?

6331

Yes No

Select Registered Investment Company (RIC):

6010

Series (series pools are set up under an Umbrella pool and are structured with a limitation on liability among the different series; series pools are not separate legal entities); the firm is only required to list and identify Series that trade commodity interest.

Identify the Umbrella

0463

Umbrella (a pool that is organized to include more than one series and is structured with a limitation on liability among the different series)

Is this Umbrella comprised of any Series that do not trade commodity interests? If so, the firm is only required to list those Series that trade commodity interests.

0464

Yes No

Identify the Series

MANAGE RELATIONSHIPS


Ticker Symbol

Provide the ticker symbol if the pool is a Registered Investment Company and/or Exchange Traded Fund (ETF).

T100

Formation and Trading


Has the pool received funds, securities or other property for the purchase of an interests in the pool? 0100
 Yes No

Enter the date the pool **first received funds, securities or other property** for the purchase of an interest in the pool. 6150
 

List the percentage of the pool's Net Asset Value (NAV) that is made up of the **CPO's and its principals' proprietary funds** : 6160

Indicate the number of participants in the pool: 0208

Has the pool placed its first trade in any financial instrument or made a direct investment into a pooled vehicle? 0002
 Yes No

Enter the date the pool commenced trading: 0206
 

Has the pool commenced **commodity interest trading** including making an investment in another **commodity pool**? 6190
(See CFTC Regulation §1.3 for the definition of commodity interest.)
 Yes No

Enter the date the pool commenced **commodity interest trading**: 6200
 

Does the pool currently have open positions in **virtual currency derivatives** (e.g., bitcoin futures, options or swaps)? 6210
 Yes No

Enter the approximate percentage of the pool's Net Asset Value (NAV) invested in **virtual currency derivatives** (e.g., bitcoin futures, options or swaps): 6211

Identify the types of **virtual currency derivative** products traded (select all that apply):

6212A

Bitcoin Futures

6212B

Bitcoin Options

6212C


Ether Futures

6212D

Micro Bitcoin Futures

6212E

Other

 Enter the approximate percentage of the pool's total Net Asset Value (NAV) that is **invested in other pool(s)** that invest(s) or has the ability to invest in **virtual currency derivatives** (e.g., bitcoin futures, options or swaps):

6213

If the pool does not invest in another pool that trades in or has the ability to invest in virtual currency derivatives, enter 0.

[Close help](#)

Does the pool currently transact in or hold **spot/physical virtual currency** (e.g., bitcoin, ethereum) positions?

6180

Yes No

Enter the approximate percentage of the pool's total Net Asset Value (NAV) invested in **spot/physical virtual currency** (e.g., bitcoin, ethereum):

6181

Identify the **spot/physical virtual currency** products that the pool currently transacts in (select all that apply):

6182A


Bitcoin

6182B

Ethereum

6182C

Other

 Enter the approximate percentage of the pool's total Net Asset Value (NAV) that is **invested in other pool(s)** that invest(s) or has the ability to invest in **spot/physical virtual currency**:

6183

If the pool does not invest in another pool that trades in or has the ability to invest in spot/physical virtual currency, enter 0.

Close help

Solicitations

Has the firm provided participants with a disclosure document or placement memorandum for the pool?

9742

Yes No

Enter the date of the pool's most recent disclosure document or placement memorandum provided to participants.

0003

Pool Expenses

Check all fees charged to the pool by anyone during the last 12 months:

6250

A percentage of pool assets under management

6260

Performance-based fees

6270

Administrative (organizational; operational fees)

6280

Fixed fees (other than administrative)

6290

Up-front fee

6300

Brokerage fees

6310

Other

6330

The pool was not charged any fees during the last 12 months