

CPO and CTA Reporting Required on CFTC/NFA Forms PQR and PR

Entity Type	Form	When to File?	Contents of Filing?
Small CPO <i>AUM of less than \$150 million</i>	PQR	Quarterly , within 60 days of the quarters ending March, June, and September	NFA Form PQR
		Annually , within 90 days of December 31	CFTC Form PQR: Schedule A + Schedule of Investments
Mid-Sized CPO <i>AUM of at least \$150 million and less than \$1.5 billion</i>	PQR	Quarterly , within 60 days of the quarters ending March, June, and September	NFA Form PQR
		Annually , within 90 days of December 31	CFTC Form PQR: Schedule A + Schedule B <i>(Schedule B includes a Schedule of Investments)</i>
Large CPO <i>AUM of at least \$1.5 billion</i>	PQR	Quarterly , within 60 days of quarter end	CFTC Form PQR: Schedule A + Schedule B + Schedule C
CPO also filing Form PF with the SEC	PQR	Quarterly , within 60 days of the quarters ending March, June, and September	NFA Form PQR
		Annually , within 60 days (Large CPO) or 90 days (Small or Mid-Sized CPO) of December 31	CFTC Form PQR: Schedule A + Schedule of Investments
CTA	PR	Quarterly , within 45 days of the quarters ending March, June, and September <i>Quarterly reports <u>not</u> required for at least the first and second calendar quarters of 2013.</i>	NFA Form PR
		Annually , within 45 days of December 31	CFTC Form PR

Sources: NFA Notice to Members I-13-12 (Apr. 24, 2013), CFTC Forms CPO-PQR and CTA-PR (17 C.F.R. pt. 4 App. A & App. C, respectively), Letter from NFA to CFTC dated June 5, 2012. Note that all filings are made online in the NFA's EasyFile System.