



## EXEMPT COMMODITY TRADING ADVISOR LETTER

**(NOTE: If the individual or entity who is being given Power of Attorney is neither an immediate family member nor a registered CTA/CPO, the following form must be completed and signed.)**

Account Title: \_\_\_\_\_

I/We, \_\_\_\_\_, the undersigned account controller(s), have discretionary trading authority over the above titled account.

You have not been provided with a disclosure document because I am/we are operating pursuant to an exemption from the Commodity Exchange Act.

I am/we are exempt from registering as a CTA because I/we: **(circle applicable letter)**

- A) Have provided advice to 15 or fewer persons over the past 12 months and do not hold myself (ourselves) out to the public as a CTA.
- B) Am/Are a dealer, processor, broker or seller in cash market transactions of any commodity (or product thereof) and the person's commodity trading advice is solely incidental to the conduct of its cash market business.
- C) Am/Are a non-profit, voluntary membership, trade association or farm organization and the person's commodity trading advice is solely incidental to the conduct of its business as such association or organization.
- D) Am/Are a foreign-based entity, located outside the U.S. and I/we only solicit non-U.S. citizens.
- E) Am/Are registered under the Act as an associated person and the person's commodity trading advice is issued solely in connection with its employment as an associated person.
- F) Am/Are registered under the Act as a commodity pool operator and the person's commodity trading advice is solely to, and for the sole use of the pool or pools for which it is so registered.
- G) Am/Are exempt from registration as a commodity pool operator and the person's commodity trading advice is directed solely to and for the sole use of the pool or pools for which it is so exempt.
- H) Am/Are registered under the Act as an Introducing Broker and the person's trading advice is solely in connection with its business as an Introducing Broker.

### ACCOUNT CONTROLLER

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

Yes  No Will this account trade European exchanges?<sup>1</sup>

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Country of Nationality<sup>1</sup>

\_\_\_\_\_  
Passport Number OR Date of Birth<sup>1</sup>

### ACCOUNT OWNER

\_\_\_\_\_  
Client Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Entity/Joint Party Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Client Name

\_\_\_\_\_  
Print Entity/Joint Party Name

Notes: 1) Per MiFID II requirements for European exchanges, you must provide the Country of Nationality plus the Passport Number or Date of Birth of the individual(s) who will execute trades for this account.