

THIRD PARTY CONTROLLER STATEMENT

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**The National Futures Association (NFA) Rule 2-8 (e) Third Party Account Controllers, requires:**

An acknowledgement from the customer that the customer has received a disclosure document from the account controller, or a written statement from the account controller explaining why the account controller is not required to provide a disclosure document to the customer.

**Please sign below acknowledging that you have received this statement:**

I am not required to provide a disclosure document to my customer because I am exempt from registering as a Commodity Trading Advisor (CTA) as indicated below: (Check the exemption which applies)

\_\_\_\_\_ a) I have provided advice to 15 or fewer persons during the past 12 months and do not hold myself generally to the public as a CTA.

\_\_\_\_\_ b) I am a (1) dealer, processor, broker or seller in cash market transactions or (2) non-profit, voluntary membership, general farm organization, who provides advice on the sale or purchase of commodities, and any trading advice is solely incidental to the conduct of my business.

\_\_\_\_\_ c) I am registered in another capacity and my advice is solely incidental to my principal business or profession.

\_\_\_\_\_ d) Other \_\_\_\_\_ (FOREIGN EXEMPT)

My relationship to the customer is: \_\_\_\_\_

Third Party Account Controller Employer \_\_\_\_\_ Occupation \_\_\_\_\_

Third Party Account Controller Address \_\_\_\_\_  
(Street) (City) (State) (Zip)

Third Party Account Controller Telephone Number \_\_\_\_\_ Third Party Account Controller Social Security Number \_\_\_\_\_

Third Party Account Controller Signature \_\_\_\_\_ Date \_\_\_\_\_

**ACKNOWLEDGEMENT**

I, \_\_\_\_\_ acknowledge that \_\_\_\_\_  
(Print Customer Name) (Print Third Party Controller Name)

is not required to provide me with a disclosure document as explained above.

X \_\_\_\_\_  
Customer Signature Date

X \_\_\_\_\_  
(If joint account, all parties must sign) Date

