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Exemptions

CPOs and CTAs must electronically file with NFA all notices of exclusion or exemption from the Commodity Futures Trading Commission's (CFTC) Part 4 requirements - namely, all notices of exemption or exclusion required by Regulations 4.5, 4.7, 4.12, 4.13 and 4.14(a)(8). **Please be advised that the CFTC has recently adopted rules that will rescind the 4.13(a)(4) exemption, effective April 24, 2012. Furthermore, any 4.13(a)(4) filed prior to that date will be rescinded effective December 31, 2012. In light of these changes you should consider your regulatory options.**

Any hardcopy exemptions filed with NFA prior to February 15, 2007 need not be re-filed through the system. All previously filed hardcopy exemptions have been transferred into the electronic system and are available for viewing and amendment.

You are accessing a system containing U.S. Commodity Futures Trading Commission records. Your usage may be monitored, recorded, and subject to audit, and, by your use, you consent to monitoring and recording. Unauthorized use of the system is prohibited and subject to criminal and civil penalties. For users that are logging into the exemptions system as a registrant, the Commission requires that you use a complex password for accessing Commission records and that you change your password at a regular interval.

Please note that the exemptions system will not be available for use Monday through Friday from 8:00 p.m. to 9:00 p.m. CT. The system may also occasionally be unavailable at other times due to system maintenance.

System Requirements

This system requires a currently supported version of Microsoft Internet Explorer or Firefox. The highest Internet Explorer (IE) custom security level you may use for this system is Medium-High. NFA recommends keeping browser levels and maintenance current as an overall best practice. Access to confidential data in this system is secured using 128 bit Secure Sockets Layer (SSL). This system also requires cookies and Scripting of Java Applets to be enabled. Contact your network administrator or visit the websites listed below to determine if your system can support these requirements.

Internet Explorer updates are available at:

<http://www.microsoft.com/windows/ie>

Firefox updates are available at:

<http://www.mozilla.com/en-US/>

If you have any questions, NFA's Information Center is available Monday through Friday from 8:00 a.m. to 5:00 p.m. CST to answer your questions. Call (312) 781-1410 or toll-free at (800) 621-3570. You may also email inquiries to information@nfa.futures.org.

Exemption System Login Selection:

[Login as Registrant](#)

[Login as Non-Registrant](#)

NFA is the premier independent provider of efficient and innovative regulatory programs that safeguard the integrity of the futures markets.

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