

# COMMODITY FUTURES TRADING COMMISSION NATIONAL FUTURES ASSOCIATION FORM 3-R

*Supplemental statement to application for registration of an Agricultural Trade Option Merchant and Associated Person or Listed Individual of an Agricultural Trade Option Merchant and reporting of additional sponsoring firms for the multiple association of an Associated Person of an Agricultural Trade Option Merchant.*

## PART I: Changes and Corrections in Registration Information (Check where applicable)

1  Agricultural Trade Option Merchant       Associated Person       Listed Individual

2 Applicant or registrant to which changes apply

FIRM NAME \_\_\_\_\_

NFA ID# \_\_\_\_\_

OR

INDIVIDUAL NAME \_\_\_\_\_

NFA ID# \_\_\_\_\_

DATE AND PLACE OF BIRTH (IF ID NOT KNOWN) \_\_\_\_\_

3 **INSTRUCTIONS FOR ITEM 3:** Please indicate Form 7-R or 8-R as well as the item number (i.e., "7-R," "No. 4" or "8-R" "No. 5"). Use Form 8-T, Notice of Termination, or FINRA Form U5 to report terminations of Associated Persons and Listed Individuals.

FORM 7-R OR 8-R	ITEM NO.	ADDITION	CHANGE	DELETE	CHANGES AND CORRECTIONS OF INFORMATION CONTAINED IN APPLICATION FOR REGISTRATION OR SUPPLEMENTAL STATEMENT (Attach a supplemental sheet if necessary)	EFFECTIVE DATE MM/DD/YY
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____

4 **TRANSFER OF REGISTRATION:** If individual's prior registration as an Associated Person of an Agricultural Trade Option Merchant was terminated within 90 days prior to the date this Form 3-R is mailed, the new sponsoring firm must provide the following information and sign the certification. Effective date of registration is the date the Form 3-R is mailed.

Sponsor Name \_\_\_\_\_

NFA ID # \_\_\_\_\_

Date Form 3-R is mailed: \_\_\_\_\_

### CERTIFICATION - Must be signed by AP, Listed Individual or authorized signatory.

I hereby certify that all changes and corrections contained or incorporated herein are true to the best of my knowledge and belief.

SPONSOR NAME \_\_\_\_\_

NFA ID# \_\_\_\_\_

PRINT NAME \_\_\_\_\_

SIGNATURE \_\_\_\_\_

DATE \_\_\_\_\_

WILLFUL FALSIFICATION, MISREPRESENTATION OR OMISSION OF ANY MATERIAL FACT REQUIRED TO BE STATED ON THIS FORM CONSTITUTES CAUSE FOR DENIAL, SUSPENSION OR REVOCATION OF REGISTRATION AND PROSECUTION UNDER CRIMINAL STATUTES OF THE INDIVIDUAL AND FIRM MAKING THE ABOVE CERTIFICATION.

## **INSTRUCTIONS**

NOTE: Any reference in the instructions to Form 3-R and in the Form 3-R itself to "Form 7-R, Form 3-R, Form 8-R or Form 8-T" applies only to the November 1999 versions of these forms created for Agricultural Trade Option Merchants and their Listed Individuals and Associated Persons.

- 1** The prompt filing of Part I of this form is required by Commission Regulation 3.13 if the information reported in any of the items specified in the instructions to Form 7-R or Form 8-R, or supplemental statement thereto, is found to be incorrect or incomplete, or if changes occur which render that information no longer accurate and current. If you are reporting changes to disciplinary history, be sure to provide certified copies of applicable documents.
- 2** Whenever there is an addition of a Listed Individual in Item 10 of Form 7-R, that person must complete a Form 8-R for Listed Individual of an Agricultural Trade Option Merchant which should be attached to this form unless that individual is exempt from filing under the provisions of Commission Regulation 3.13.
- 3** Use this form to promptly amend an application that has been filed, whether or not registration is pending or registration has been granted, unless instructed otherwise.
- 4** **Where to file.** Send this form to National Futures Association, 300 South Riverside Plaza, Suite 1800, Chicago, Illinois 60606-6615.
- 5** Report terminations and failures to become associated on Form 8-T, Notice of Termination of an Associated Person or Listed Individual of an Agricultural Trade Option Merchant, or on FINRA Form U5, Uniform Termination Notice for Securities Industry Registration.