

## 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 registered CTA/CPO, the following form is to be completed and signed.)**

I/WE \_\_\_\_\_, the undersigned account controllers have discretionary trading authority over your account titled \_\_\_\_\_ (Acct.# \_\_\_\_\_).

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.

### Account Controller:

X \_\_\_\_\_  
Signature

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Date

### Customer Acknowledgement:

X \_\_\_\_\_  
Signature

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Date

X \_\_\_\_\_  
Joint Party Signature

\_\_\_\_\_  
Printed Joint Party Name

\_\_\_\_\_  
Date