

CFTC/NFA Compliance Services

Over the last ten years, we have guided our clients through the ever-evolving regulatory landscape. Throughout this changing backdrop, we have always remained committed to providing our clients with pragmatic advice, allowing them the ability to confidently understand their regulatory obligations.

We seek to identify regulatory solutions that directly fit the needs of your business.

Our senior consultants work together to ensure that we share our experience and knowledge to deliver industry-leading advice, to our clients.

Our CFTC/NFA Compliance services include:

- Assistance with CFTC registrations and NFA membership
- Provision of on-going compliance advisory assistance
- Ad-hoc assistance, including project work

Registration

Our team of experts in the US and UK can help you register as a Commodity Pool Operator or Commodity Trading Adviser.

We will completely manage your Commodity Pool Operator or Commodity Trading Adviser registration from collating the required documents, to completing the Form 7-R and Form 8-R applications, and finally, addressing any subsequent correspondence from the NFA. Once your registration is complete, we work to draft appropriate policies and procedures to assist you in adhering with your ongoing regulatory requirements.

On-going compliance

RQC Group provides a wide range of CFTC/NFA compliance monitoring services which can be tailored to your specific needs. We often partner with clients on an on-going, retained basis allowing us to better understand their business and its areas of risk. RQC Group consultants work collaboratively, to benefit clients through our varied experience and shared insight from seeing issues across our diverse client base and the wider industry.

Our on-going compliance monitoring services start with a comprehensive initial assessment of your business and include at least quarterly monitoring meetings. Our approach takes into account both regulatory requirements and industry best practices.

Ad-hoc/Project work

Our senior consultants have extensive experience working with NFA member firms. We assist our clients with a variety of projects, including the annual self-examination questionnaire and the performance of branch audits.

Our core strength lies in delivering bespoke advice to our clients, as opposed to a tick-box, one size fits all approach. We work hard to understand your business and provide clear compliance solutions tailored to your needs.