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| **GFIN Member: National Futures Association (NFA)**Location: Chicago and New York City, United States |
| **About Us** | NFA is the industrywide, self-regulatory organization for the U.S. derivatives industry, providing innovative and effective regulatory programs.Designated by the CFTC as a registered futures association, NFA strives every day to safeguard the integrity of the derivatives markets, protect investors and ensure Members meet their regulatory responsibilities.Our members include Commodity Pool Operators (CPO), Commodity Trading Advisors (CTA), Futures Commission Merchants (FCM), Forex Dealer Members (FDMs), Swap Dealers, and Introducing Brokers (IBs)NFA has also provided regulatory services to designated contract markets ("DCMs") on a contractual basis for more than ten years. Since 2013, NFA has offered similar services to SEFs. |
| **Geographical Jurisdiction** | United States |
| **Industry Sectors We Regulate** | NFA, a self-regulatory organization for the U.S. derivatives industry, regulates Commodity Pool Operator, Commodity Trading Advisor, Futures Commission Merchant, Forex Dealer Member, Introducing Broker and Swap Dealer Members, and provides regulatory services to designated contract markets and swap execution facilities. |
| **Types of Innovation Services we Offer** | □ Guidance on the application of laws and rules to innovative business models☑ Support with authorisation to operate in our jurisdiction□ Live Sandbox testing environment☑ Waivers or exemptions, for any entity meeting certain criteria☑ Engagement with firms on regtech and suptech solutions☑ Engagement with innovators and/or other third parties (e.g. academics, consultants and other organisations) □ Facilitating hackathons, TechSprints or similar events □ Assistance finding potential public or private sector partners / service providers (*enquire for details*) Other [*specify*] |
| **GFIN Cross-Border Testing Participation?** | TBD |
| **Required Criteria for GFIN Cross-Border Testing** |  |
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