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Futures Advisory Services		Futures Advisory Se	ervices	
(Investment Advice)	3250.0.5.2.6	(Investment Ad	lvice) 3	3250.0.5.2.6
Internal Controls and Internal		Inspection Consideration	ations	3250.0.5.2
		inspection Considera	auons	5250.0.5.2
Audit	3250.0.7.5.2	Internal Audit	ations	3250.0.7.6
Audit Leverage	3250.0.7.5.2 4010.1.2			
Leverage		Internal Audit		3250.0.7.6
	4010.1.2	Internal Audit Internal Controls	ts a	3250.0.7.6 3250.0.7.5.2
Leverage Margin Requirements Presentation of	4010.1.2 3250.0.5.2.4	Internal Audit Internal Controls Margin Requiremen Presentation of Find	ts a	3250.0.7.6 3250.0.7.5.2 3250.0.5.2.4
Leverage Margin Requirements Presentation of Findings	4010.1.2 3250.0.5.2.4 3250.0.5.2.8	Internal Audit Internal Controls Margin Requiremen	ts a	3250.0.7.6 3250.0.7.5.2 3250.0.5.2.4 3250.0.5.2.8
Leverage Margin Requirements Presentation of Findings Inspection Frequency	4010.1.2 3250.0.5.2.4	Internal Audit Internal Controls Margin Requiremen Presentation of Find Purpose and Scope	ts ings i	3250.0.7.6 3250.0.7.5.2 3250.0.5.2.4 3250.0.5.2.8 3250.0.5.1
Leverage Margin Requirements Presentation of Findings Inspection Frequency Holding Companies with no	4010.1.2 3250.0.5.2.4 3250.0.5.2.8	Internal Audit Internal Controls Margin Requiremen Presentation of Find Purpose and Scope Inspection Procedures	ts 2 ings 2 1030.0.1,	3250.0.7.6 3250.0.7.5.2 3250.0.5.2.4 3250.0.5.2.8 3250.0.5.1 2010.0.4,
Leverage Margin Requirements Presentation of Findings Inspection Frequency Holding Companies with no Identified Problems or	4010.1.2 3250.0.5.2.4 3250.0.5.2.8 5000.0.4	Internal Audit Internal Controls Margin Requiremen Presentation of Find Purpose and Scope Inspection Procedures 2010.1.2,	ts ings 1030.0.1, 2010.2.5,	3250.0.7.6 3250.0.7.5.2 3250.0.5.2.4 3250.0.5.1 2010.0.4, 2010.3.2,
Leverage Margin Requirements Presentation of Findings Inspection Frequency Holding Companies with no Identified Problems or Special Characteristics	4010.1.2 3250.0.5.2.4 3250.0.5.2.8 5000.0.4 5000.0.9.1	Internal Audit Internal Controls Margin Requiremen Presentation of Find Purpose and Scope Inspection Procedures 2010.1.2, 2010.10.2,	ts 2 ings 2 1030.0.1, 2010.2.5, 2010.12.3,	3250.0.7.6 3250.0.7.5.2 3250.0.5.2.4 3250.0.5.2.8 3250.0.5.1 2010.0.4, 2010.3.2, 2020.1.4,
Leverage Margin Requirements Presentation of Findings Inspection Frequency Holding Companies with no Identified Problems or Special Characteristics Inspection Objectives 2010.0.	4010.1.2 3250.0.5.2.4 3250.0.5.2.8 5000.0.4 5000.0.9.1 3, 2010.1.1,	Internal Audit Internal Controls Margin Requiremen Presentation of Find Purpose and Scope Inspection Procedures 2010.1.2, 2010.10.2, 2020.2.2,	ts 1030.0.1, 2010.2.5, 2010.12.3, 2020.3.2,	3250.0.7.6 3250.0.7.5.2 3250.0.5.2.4 3250.0.5.2.8 3250.0.5.1 2010.0.4, 2010.3.2, 2020.1.4, 2020.4.2,
Leverage Margin Requirements Presentation of Findings Inspection Frequency Holding Companies with no Identified Problems or Special Characteristics Inspection Objectives 2010.0. 2010.2.4, 2010.3.	4010.1.2 3250.0.5.2.4 3250.0.5.2.8 5000.0.4 5000.0.9.1 3, 2010.1.1, 1, 2010.4.1,	Internal Audit Internal Controls Margin Requiremen Presentation of Find Purpose and Scope Inspection Procedures 2010.1.2, 2010.10.2, 2020.2.2, 2020.5.3, 2030.0.8,	ts 1030.0.1, 2010.2.5, 2010.12.3, 2020.3.2, 2020.6.3, 2040.0.2,	3250.0.7.6 3250.0.7.5.2 3250.0.5.2.4 3250.0.5.1 2010.0.4, 2010.3.2, 2020.1.4, 2020.4.2, 2020.7.2, 2050.0.6,
Leverage Margin Requirements Presentation of Findings Inspection Frequency Holding Companies with no Identified Problems or Special Characteristics Inspection Objectives 2010.0. 2010.2.4, 2010.3. 2010.5.6, 2010.9.	4010.1.2 3250.0.5.2.4 3250.0.5.2.8 5000.0.4 5000.0.9.1 3, 2010.1.1, 1, 2010.4.1, 2, 2010.10.1,	Internal Audit Internal Controls Margin Requiremen Presentation of Find Purpose and Scope Inspection Procedures 2010.1.2, 2010.10.2, 2020.2.2, 2020.5.3,	ts 1030.0.1, 2010.2.5, 2010.12.3, 2020.3.2, 2020.6.3, 2040.0.2, 2060.2.2,	3250.0.7.6 3250.0.7.5.2 3250.0.5.2.4 3250.0.5.2.8 3250.0.5.1 2010.0.4, 2010.3.2, 2020.1.4, 2020.4.2, 2020.7.2, 2050.0.6, 2060.3.2,
Leverage Margin Requirements Presentation of Findings Inspection Frequency Holding Companies with no Identified Problems or Special Characteristics Inspection Objectives 2010.0. 2010.2.4, 2010.3. 2010.5.6, 2010.9. 2010.12.2, 2020.1.	4010.1.2 3250.0.5.2.4 3250.0.5.2.8 5000.0.4 5000.0.9.1 3, 2010.1.1, 1, 2010.4.1, 2, 2010.10.1, 3, 2020.2.1,	Internal Audit Internal Controls Margin Requiremen Presentation of Find Purpose and Scope Inspection Procedures 2010.1.2, 2010.10.2, 2020.2.2, 2020.5.3, 2030.0.8, 2060.1.6, 2060.4.2,	ts 1030.0.1, 2010.2.5, 2010.12.3, 2020.3.2, 2020.6.3, 2040.0.2,	3250.0.7.6 3250.0.7.5.2 3250.0.5.2.4 3250.0.5.2.8 3250.0.5.1 2010.0.4, 2010.3.2, 2020.1.4, 2020.4.2, 2020.7.2, 2050.0.6, 2060.3.2, 2065.2.2,
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Leverage Margin Requirements Presentation of Findings Inspection Frequency Holding Companies with no Identified Problems or Special Characteristics Inspection Objectives 2010.0. 2010.2.4, 2010.3. 2010.5.6, 2010.9. 2010.12.2, 2020.1. 2020.3.1, 2020.4. 2020.6.2, 2020.7.	4010.1.2 3250.0.5.2.4 3250.0.5.2.8 5000.0.4 5000.0.9.1 3, 2010.1.1, 1, 2010.4.1, 2, 2010.10.1, 3, 2020.2.1, 1, 2020.5.2, 1, 2030.0.7,	Internal Audit Internal Controls Margin Requiremen Presentation of Find Purpose and Scope Inspection Procedures 2010.1.2, 2010.10.2, 2020.2.2, 2020.5.3, 2030.0.8, 2060.1.6, 2060.4.2, 2065.4.3,	ts 1030.0.1, 2010.2.5, 2010.12.3, 2020.3.2, 2020.6.3, 2040.0.2, 2060.2.2, 2060.5.7, 2070.0.4,	3250.0.7.6 3250.0.7.5.2 3250.0.5.2.4 3250.0.5.2.8 3250.0.5.1 2010.0.4, 2010.3.2, 2020.1.4, 2020.4.2, 2020.7.2, 2050.0.6, 2060.3.2, 2065.2.2, 2080.1.7,
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Leverage Margin Requirements Presentation of Findings Inspection Frequency Holding Companies with no Identified Problems or Special Characteristics Inspection Objectives 2010.0. 2010.2.4, 2010.3. 2010.5.6, 2010.9. 2010.12.2, 2020.1. 2020.3.1, 2020.4. 2020.6.2, 2020.7. 2040.0.1, 2050.0. 2060.2.1, 2060.3. 2060.5.6, 2065.2.	4010.1.2 3250.0.5.2.4 3250.0.5.2.8 5000.0.4 5000.0.9.1 3, 2010.1.1, 1, 2010.4.1, 2, 2010.10.1, 3, 2020.2.1, 1, 2020.5.2, 1, 2030.0.7, 6, 2060.1.5, 1, 2060.4.1, 1, 2065.4.2,	Internal Audit Internal Controls Margin Requiremen Presentation of Find Purpose and Scope Inspection Procedures 2010.1.2, 2010.10.2, 2020.2.2, 2020.5.3, 2030.0.8, 2060.1.6, 2060.4.2, 2065.4.3, 2080.2.5, 2090.1.14, 2090.6.2, 2124.4.4,	ts 1030.0.1, 2010.2.5, 2010.12.3, 2020.3.2, 2020.6.3, 2040.0.2, 2060.2.2, 2060.5.7, 2070.0.4, 2080.3.3, 2090.2.6, 2120.0.7, 2126.3.8,	3250.0.7.6 3250.0.7.5.2 3250.0.5.2.4 3250.0.5.2.8 3250.0.5.1 2010.0.4, 2010.3.2, 2020.1.4, 2020.4.2, 2020.7.2, 2050.0.6, 2060.3.2, 2065.2.2, 2080.1.7, 2090.0.7, 2090.0.7, 2090.3.3, 2124.0.4, 2128.02.10,
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Leverage Margin Requirements Presentation of Findings Inspection Frequency Holding Companies with no Identified Problems or Special Characteristics Inspection Objectives 2010.0. 2010.2.4, 2010.3. 2010.5.6, 2010.9. 2010.12.2, 2020.1. 2020.3.1, 2020.4. 2020.6.2, 2020.7. 2040.0.1, 2050.0. 2060.2.1, 2060.3. 2060.5.6, 2065.2. 2070.0.3, 2080.1. 2080.3.2, 2090.0.	4010.1.2 3250.0.5.2.4 3250.0.5.2.8 5000.0.4 5000.0.9.1 3, 2010.1.1, 1, 2010.4.1, 2, 2010.10.1, 3, 2020.2.1, 1, 2020.5.2, 1, 2030.0.7, 6, 2060.1.5, 1, 2060.4.1, 1, 2065.4.2, 6, 2080.2.4, 6, 2090.1.13,	Internal Audit Internal Controls Margin Requiremen Presentation of Find Purpose and Scope Inspection Procedures 2010.1.2, 2010.10.2, 2020.2.2, 2020.5.3, 2030.0.8, 2060.1.6, 2060.4.2, 2065.4.3, 2080.2.5, 2090.1.14, 2090.6.2, 2124.4.4, 2128.03.6, 2128.08.2,	ts ings 1030.0.1, 2010.2.5, 2010.12.3, 2020.3.2, 2020.6.3, 2040.0.2, 2060.2.2, 2060.5.7, 2070.0.4, 2080.3.3, 2090.2.6, 2120.0.7, 2126.3.8, 2128.04.2, 2129.0.5,	3250.0.7.6 3250.0.7.5.2 3250.0.5.2.4 3250.0.5.2.8 3250.0.5.1 2010.0.4, 2010.3.2, 2020.1.4, 2020.4.2, 2020.7.2, 2050.0.6, 2060.3.2, 2065.2.2, 2080.1.7, 2090.0.7, 2090.3.3, 2124.0.4, 2128.02.10, 2128.05.2, 2129.05.5,
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