

NFA Membership Application*

Name

Indicate the full legal name that appears on the firm's corporate filings or if Sole Proprietor, indicate the full legal name of the individual who is the Sole Proprietor. The name should not be a "doing business as" name the Firm or Sole Proprietor may be doing business under. Do not use nicknames or abbreviations. For example, if the individual's first name is Charles, enter Charles, not Chuck.

Firm Name* _____

or

First & Middle Name* _____ Last Name* (Surname) _____ Suffix _____

NFA ID# _____

MEMBERSHIP INFORMATION*

Swap Dealers, Major Swap Participants and Floor Trader Firms do not answer this question.

Will the firm be undertaking activities involving off-exchange foreign currency transactions as described in Sections 2(c)(2)(B) or 2(c)(2)(C) of the Act?

Yes No

Only firms in retail off-exchange forex business that are FCMs and/or RFEDs answer this question.

Will the firm be acting as, or offering to act as, the counterparty in off-exchange foreign currency transactions as described in Sections 2(c)(2)(B) or 2(c)(2)(C) of the Act?

Yes No

Swap Dealers, Major Swap Participants and Floor Trader Firms do not answer these questions.

Will the firm's commodity interest activities include swaps transactions subject to the jurisdiction of the Commodity Futures Trading Commission?

Yes No

If yes, Firm's commodity interest activities involve: *

- Swaps transactions only
- Swaps, futures and options on futures and/or retail off-exchange foreign currency transactions

Only applicants for NFA Membership that are applying for registration in more than one CFTC category complete this section.

Indicate the category in which the firm intends to vote on NFA membership matters. Select one.

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- Futures Commission Merchant
 Retail Exchange Dealer
 Introducing Broker
 Commodity Trading Advisor
 Commodity Pool Operator
 Swap Dealer
 Major Swap Participant

Only applicants for NFA Membership that are FCMs answer this question.

Is the firm a member or has the firm applied for membership at any U. S. commodity exchange?*

- Yes
 No

Only applicants for NFA Membership that are SDs or MSPs complete this section.

U.S. REGULATOR INFORMATION*

Is the firm currently regulated by any of the regulators listed below?

- Yes
 No

If yes, check all that apply:

- The Board of Governors of the Federal Reserve System
 The Farm Credit Administration
 The Federal Deposit Insurance Corporation
 The Federal Housing Finance Agency
 The Office of the Comptroller of the Currency
 The Securities and Exchange Commission

MEMBERSHIP CONTACT INFORMATION

Enter the individual to whom all membership communications and inquiries are to be directed.

MEMBERSHIP CONTACT

First Name* _____

Last Name* _____

Title _____

Street Address 1* _____

Street Address 2 _____

Street Address 3 _____

City** _____ State* (U.S. Only) _____

*Required to file application | **Required to file application for United States address

Province _____ Zip/Postal Code** _____

Country* _____

Phone Number* _____

Fax Number _____

Email* _____

Enter the individual to whom all accounting inquiries and invoices are to be directed.

ACCOUNTING CONTACT

First Name* _____

Last Name* _____

Title _____

Street Address 1* _____

Street Address 2 _____

Street Address 3 _____

City** _____ State* (U.S. Only) _____

Province _____ Zip/Postal Code** _____

Country* _____

Phone Number* _____

Fax Number _____

Email* _____

Enter the individual to whom all arbitration matters are to be directed.

ARBITRATION CONTACT

First Name* _____

Last Name* _____

Title _____

*Required to file application | **Required to file application for United States address

Street Address 1* _____

Street Address 2 _____

Street Address 3 _____

City** _____ State* (U.S. Only) _____

Province _____ Zip/Postal Code** _____

Country* _____

Phone Number* _____

Fax Number _____

Email* _____

Enter the individual to whom all compliance inquiries are to be directed.

COMPLIANCE CONTACT

First Name* _____

Last Name* _____

Title _____

Street Address 1* _____

Street Address 2 _____

Street Address 3 _____

City** _____ State* (U.S. Only) _____

Province _____ Zip/Postal Code** _____

Country* _____

Phone Number* _____

Fax Number _____

Email* _____

*Required to file application | **Required to file application for United States address

Only applicants for NFA Membership that are FCMs complete this section.

Enter the individual to whom all assessment fee inquiries are to be directed.

ASSESSMENT FEE CONTACT

First Name* _____

Last Name* _____

Title _____

Street Address 1* _____

Street Address 2 _____

Street Address 3 _____

City** _____ State* (U.S. Only) _____

Province _____ Zip/Postal Code** _____

Country* _____

Phone Number* _____

Fax Number _____

Email* _____

Only applicants for NFA Membership that are FCMs, SDs, MSPs and/or RFEDs complete this section.

Enter the individual who is the designated Chief Compliance Officer for the firm.

CHIEF COMPLIANCE OFFICER CONTACT

First Name* _____

Last Name* _____

Title _____

Street Address 1* _____

Street Address 2 _____

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Street Address 3 _____

City** _____ State* (U.S. Only) _____

Province _____ Zip/Postal Code** _____

Country* _____

Phone Number* _____

Fax Number _____

Email* _____

APPLICANT NFA MEMBERSHIP AGREEMENT

The applicant certifies that:

the applicant has authorized the person filing this application for NFA membership to file it on the Applicant's behalf and to make the certifications, acknowledgements and agreements contained in this agreement.

The applicant acknowledges that the applicant may not act as a Forex Firm or Forex Dealer Member until approval as a Forex Firm or designation as an approved Forex Dealer Member has been granted and that the applicant may not act as a Swap Firm until approval as a Swap Firm has been granted.

The applicant agrees that:

NFA may conduct an investigation to determine the applicant's fitness for NFA membership;

the applicant will cooperate promptly and fully in such investigation, which investigation may include contacting non-U.S. regulatory and law enforcement authorities, including the submission of documents and information to NFA that NFA, in its discretion, may require in connection with the applicant's application for NFA membership and requests that any person, including but not limited to contract markets, or non-U.S. regulatory or law enforcement agencies, furnish upon request to NFA or any agent acting on behalf of NFA any information requested by NFA in connection with any investigation conducted by NFA to determine the applicant's fitness for NFA Membership;

if the applicant is a non-U.S. applicant:

subject to any applicable blocking, privacy or secrecy laws, the applicant's books and records will be available for inspection by NFA for purposes of determining compliance with NFA Requirements;

subject to any applicable blocking, privacy or secrecy laws, such books and records will be produced on 72-hours notice at the location in the United States stated in the Form 7-R, provided, however, if the applicant is applying for NFA Membership as an FCM, SD, MSP or RFED, upon specific request, such books and records will be produced on 24-hours notice except for good cause shown; the applicant will immediately notify NFA of any changes to the location in the United States where such books and records will be produced;

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except as the applicant has otherwise informed NFA in writing, the applicant is not subject to any blocking, privacy or secrecy laws which would interfere with or create an obstacle to full inspection of the applicant's books and records by NFA;

subject to any applicable blocking, privacy or secrecy laws, the failure to provide NFA with access to its books and records in accordance with this agreement may be grounds for disciplinary sanctions, denial, suspension, termination of or expulsion from NFA membership; and

the applicant and its employees shall become and remain bound by all NFA requirements, including without limitation all applicable NFA Bylaws, Compliance Rules, Financial Requirements, Registration Rules, Code of Arbitration and Member Arbitration Rules, as then and thereafter in effect.

AGREE