



Financial Commission Membership Application

Legal Information

What is the name of the corporate entity you will be filing your membership application under?

Where is the corporate head quarters for the company located?

What is the official web site of your company?

Who are the major principals and owners of the corporation? (Anyone who is more than a 10% owner)

Is the firm currently licensed or regulated in any jurisdiction?

Yes

No

If Yes, please provide the regulator and license number

General Information

How many years has your company been in business as a financial services provider?

What markets is your company currently operating in?

What languages does your company support?

Which trading platforms does your company offer your customers?

Which financial trading products does your company currently offer to your clients?

What is the minimum account size available to trade with your company?

Dealing Information

How is pricing established?

What vendors are used to determine settlement price?

Does the firm cover all or part of its positions? If yes, please list the name of counter-parties.

Does the firm outsource their dealing desk?

Yes

No

What type of statements do you receive from the firms you cover with?

Does your company store tick data?

Yes

No

If yes, please specify for how long.

Dispute Resolution

How many complaints do you estimate would be handled by the Financial Commission per month coming from your company?

Has your company ever had any previous disciplinary actions from a regulator or legal entity?

Yes

No

If Yes, please specify all instances of legal or regulatory disciplinary actions

Has your company been previously registered with a regulatory entity and is no longer regulated?

Yes

No

If Yes, please state which entity, license number

Company Contact for future communications with the Financial Commission

Name

Position Held with the company

Direct Phone Number

Email Address

The Financial Commission asks that you please supply the following documentation along with your application:

- * Company certificate of incorporation
- * Photo identification for all owners/principals of the company (More than 10% Owners)
- * Current copy of Customer Agreement form

Signature

By signing this document you agree that you have completely reviewed all information and attest to the best of your knowledge that the information you have provided on the Financial Commission Membership Application is 100% accurate and has not been falsified in any way.

By submitting this application you understand that there is a \$3,000 application fee which will cover all processing fees and background checks required. This fee will be due after you have submitted the application and all other necessary documents. The Financial Commission will send you an invoice with wiring instructions.

Name

Date

Company Name

Position Held with Company

Signature

Please send all documentation to: info@financialcommission.org

Should you have any questions regarding this application please contact:

Jeffrey Baskin

Phone - 212-655-5493

Email - jbaskin@financialcommission.org
