

**TEMPLATE: DO NOT SEND TO NFA**

## **NATIONAL FUTURES ASSOCIATION**

### **INDIVIDUAL APPLICATION**

#### **Instructions for Using the Individual Application Template**

**READ THESE INSTRUCTIONS CAREFULLY BEFORE COMPLETING OR REVIEWING THE APPLICATION. THE FAILURE TO ANSWER ALL QUESTIONS COMPLETELY AND ACCURATELY OR THE OMISSION OF REQUIRED INFORMATION MAY RESULT IN THE DENIAL OR REVOCATION OF REGISTRATION.**

**THE FAILURE TO DISCLOSE A DISCIPLINARY MATTER EITHER IN AN APPLICATION OR AN UPDATE WILL RESULT IN THE IMPOSITION OF A LATE DISCLOSURE FEE IN ACCORDANCE WITH NFA REGISTRATION RULE 210(c).**

**This document is not an application form. Do not send this document to NFA. It is a template that you may use to assist in filing the electronic application.**

You may fill out the template online and save and/or print it when you are finished or you can download the template and/or print it and fill it out later.

Not every section applies to every applicant. Certain sections apply depending on the registration category or categories being applied for. The text above these sections explains who must complete the section. In the electronic application, only the applicable sections will appear.

#### **DEFINED TERMS**

Words that are underlined in this form are defined terms and have the meanings contained in the Definition of Terms section.

#### **GENERAL**

Read the Instructions and Questions Carefully

A question that is answered incorrectly because it was misread or misinterpreted can result in severe consequences, including denial or revocation of registration. Although this applies to all questions in the application, it is particularly important to the questions in the Disciplinary Information Section.

Rely Only on Advice from NFA Staff

A question that is answered incorrectly because of advice received from a lawyer, employer, a judge or anyone else (other than a member of NFA's Registration Investigations or Legal ("RIL") staff) can result in severe consequences, including denial or revocation of registration. This also applies to all questions in the form, but is particularly important regarding the Disciplinary Information Section. If the language of a question in the Disciplinary Information Section requires disclosure of a matter, a "Yes" answer to the question is required no matter what other advice has been received from anyone other than NFA's RIL staff. Additionally, the applicant or registrant remains responsible for failures to disclose even if some-

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one completes the form on the applicant's or registrant's behalf.

#### **Update the Information on the Application**

If information provided on the application changes or a matter that would have required disclosure on the application occurs after the application is filed, the new information must be promptly filed. APs and Principals should advise their Sponsors of the new information, and the Sponsor must file the update on their behalf. The failure to promptly update information can result in severe consequences, including denial or revocation of registration.

#### **Compliance with Disclosure Requirements of Another Regulatory Body is not Sufficient**

With some exceptions, which are described below in the Regulatory and Financial Disclosures sections, if any question requires the provision of information, that information must be provided. In particular, if a question in the Disciplinary Information Section requires disclosure of a matter, the question must be answered "Yes" and additional documents must be provided even if the matter has been disclosed to another regulatory body such as FINRA, an exchange or a state regulator. Similarly, disclosure is required even if another regulatory body does NOT require disclosure of the same matter.

#### **Call NFA with Questions**

If there is any question about whether particular information must be provided, whether a particular matter must be disclosed or whether a particular question requires a "Yes" answer, call the NFA Information Center at (800) 621-3570 or (312) 781-1410. Representatives are available from 8:00 a.m. to 5:00 p.m., Central Time, Monday through Friday. If the advice of NFA staff is sought, a written record containing the date of the conversation, the name of the NFA staff person giving the advice and a description of the advice should be made during the conversation and kept in the event an issue concerning disclosure of the matter arises later.

### **DISCIPLINARY INFORMATION SECTION**

#### **Criminal Disclosures**

Some common mistakes in answering the criminal disclosure questions involve expungements, diversion programs and similar processes. The Commodity Futures Trading Commission requires a "Yes" answer even if the matter has been expunged or the records sealed, there was no adjudication or finding of guilt, the guilty plea was vacated or set aside or the matter was dismissed upon completion of the diversion program.

Another common error regarding criminal matters concerns matters that do not involve the futures in-

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dustry. All criminal matters must be disclosed, even if a matter is unrelated to the futures industry, unless the case was decided in a juvenile court or under a Youth Offender law.

#### Regulatory Disclosures

Regulatory actions taken by the Commodity Futures Trading Commission, NFA or domestic futures exchanges do not need to be disclosed since NFA is already aware of them once they are entered into NFA's BASIC system.

#### Financial Disclosures

It is not necessary to disclose arbitration or CFTC reparations matters unless the applicant or registrant has failed to pay an award issued in a futures-related arbitration or an order entered in a reparations matter.

Only adversary actions that a bankruptcy trustee or a trustee's attorney files must be disclosed. Adversary actions that creditors file are not disclosable. A person named as a party to an adversary action in a bankruptcy proceeding must disclose the action, even if the person is not the bankrupt person.

#### ADDITIONAL DOCUMENTS

For any matter that caused a "Yes" answer, a written explanation detailing the events and conduct must be provided. That explanation can be entered on the Matter pages by giving it a name, e.g., the docket number of the case, and describing it in the text box. Alternatively, the explanation can be sent in hard copy format to NFA.

In addition to the required explanation, other documents about the matter must be sent to NFA. If court documents are unavailable, a letter from the court verifying that must be sent to NFA. If documents other than court documents are unavailable, the person must provide a written explanation for their unavailability.

Like answering the questions correctly, providing all documents to NFA is important. Failure to do so will delay the registration process and may result in a denial of the application.

**DEFINITION OF TERMS** (The following terms are defined solely for the purpose of using NFA's Online Registration System.)

**10% OR MORE INTEREST:** direct or indirect ownership of 10% or more of an applicant's or registrant's stock; entitlement to vote or empowered to sell 10% or more of an applicant's or registrant's voting securities; contribution of 10% or more of an applicant's or registrant's capital; or entitlement to 10% or more of an applicant's or registrant's

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net profits.

**ADJUDICATION:** in a criminal case, a determination by the court that the defendant is guilty or not guilty.

**ADVERSARY ACTION:** a lawsuit arising in or related to a bankruptcy case commenced by a creditor or bankruptcy trustee by filing a complaint with the bankruptcy court.

**ALIAS:** another name utilized by an individual or previously used by an [entity](#).

**CHARGE:** a formal complaint, information, indictment or equivalent instrument containing an accusation of a crime.

**DBA:** abbreviation for Doing Business As. The firm is doing its futures, retail off-exchange forex or swaps business by this name.

**DESIGNATED SUPERVISOR:** solely for the purpose of determining whether the Branch Manager Examination (Series 30) is required, Designated Supervisor means a [person](#) who is registered with FINRA (formerly known as NASD) as a General Securities Representative and has been designated to act as the supervisor of an office that is not an Office of Supervisory Jurisdiction ("non-OSJ"), provided that:

- either the futures activity conducted in the non-OSJ that is subject to the Designated Supervisor's supervision is limited to activity not requiring the Series 3 Examination and both the Designated Supervisor and the Branch Manager of the Office of Supervisory Jurisdiction to which the non-OSJ reports have otherwise satisfied NFA's Proficiency Requirements appropriate to their supervisory activities; or
- the activity that is conducted in the non-OSJ that requires the Series 3 Examination is supervised by the Branch Manager of the Office of Supervisory Jurisdiction to which the non-OSJ reports and both the Designated Supervisor and Branch Office Manager have passed the Series 3 Examination.

**ENJOINED:** subject to an injunction.

**ENTITY:** any [person](#) other than an individual.

**FELONY:** any crime classified as a felony and for states and countries that do not differentiate between a felony or misdemeanor, an offense that could result in imprisonment for any period of more than one year. The term also includes a general court martial.

**FINANCIAL SERVICES INDUSTRY:** the commodities, securities, accounting, banking, finance, insurance, law or real estate industries.

**FOUND:** subject to a determination that conduct or a rule violation has occurred. The term applies to dispositions of any type, including but not limited to consent decrees or settlements in which the findings are neither admitted nor denied or in which the findings are for settlement or record purposes only.

**INTERNAL REVENUE CODE:**

Section 7203: Willful Failure to File Return, Supply Information or Pay Tax

Section 7204: Fraudulent Statement or Failure to Make Statement

Section 7205: Fraudulent Withholding Exemption Certificate or Failure to Supply Information

Section 7207: Fraudulent Returns, Statements or Other Documents

**INVESTMENT RELATED STATUTES:**

- The Commodity Exchange Act
- The Securities Act of 1933
- The Securities Exchange Act of 1934
- The Public Utility Holding Company Act of 1935
- The Trust Indenture Act of 1939
- The Investment Advisers Act of 1940
- The Investment Company Act of 1940

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- The Securities Investors Protection Act of 1970
- The Foreign Corrupt Practices Act of 1977
- Chapter 96 of Title 18 of the United States Code
- Any similar statute of a State or foreign jurisdiction

**INVESTMENT RELATED STATUTES (continued):**

- Any rule, regulation or order under any such statutes; and
- The rules of the Municipal Securities Rulemaking Board

**MISDEMEANOR:** any crime classified as a misdemeanor and for states and countries that do not differentiate between a felony or misdemeanor, an offense that could result in imprisonment for any period of at least six days but not more than one year. By way of example, an offense for which the maximum period of imprisonment is 60 days would be considered a misdemeanor. The term also includes a special court martial.

**OTHER NAME: For firms or sole proprietors,** any other name that the applicant uses or has used in the past for its futures, retail off-exchange forex or swaps business but not the name of any other legal entity that the applicant has an affiliation or association with (see [DBA](#)). **For individuals,** this is any name the person is or has been known by. For example, a maiden name, an alias name that you use or are known by, or a previous name if you have changed your legal name.

**PERSON:** an individual, association, partnership, corporation, limited liability company, limited liability partnership, trust, or other form of business organization.

**PRINCIPAL - means, with respect to an applicant, a registrant, or a person required to be registered under the Act:**

an individual who is:

- a sole proprietor of a sole proprietorship;
- a general partner of a partnership;
- a director, president, chief executive officer, chief operating officer, chief financial officer, or a person in charge of a business unit, division or function subject to regulation by the Commission of a corporation, limited liability company or limited liability partnership;
- a manager, managing member or a member vested with the management authority for a limited liability company or limited liability partnership; or
- a chief compliance officer; or

an individual who directly or indirectly, through agreement, holding companies, nominees, trusts or otherwise:

- is the owner of 10% or more of the outstanding shares of any class of an applicant or registrant's equity securities, other than non-voting securities;
- is entitled to vote 10% or more of the outstanding shares of any class of an applicant or registrant's equity securities, other than non-voting securities;
- has the power to sell or direct the sale of 10% or more of the outstanding shares of any class of an applicant or registrant's equity securities, other than non-voting securities;
- is entitled to receive 10% or more of an applicant or registrant's net profits; or
- has the power to exercise a controlling influence over an applicant or registrant's activities that are subject to regulation by the Commission; or

an [entity](#) that:

- is a general partner of a partnership; or
- is the direct owner of 10% or more of the outstanding shares of any class of an applicant or registrant's

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equity securities, other than non-voting securities; or  
an individual who or an [entity](#) that:

- has contributed 10% or more of an applicant or registrant's capital unless such capital contribution consists of subordinated debt contributed by:

**PRINCIPAL (continued):**

- an unaffiliated bank insured by the Federal Deposit Insurance Corporation;
- an unaffiliated "foreign bank," as defined in 12 CFR 211.21(n) that currently operates an "office of a foreign bank," as defined in 12 CFR 211.21(t), which is licensed under 12 CFR 211.24(a);
- such office of an unaffiliated, licensed foreign bank; or
- an insurance company subject to regulation by any State.

provided such debt is not guaranteed by an individual who or entity that is not a principal of the applicant or registrant.

**SELF-REGULATORY ORGANIZATION (SRO):** a private, non-governmental organization authorized to set and enforce standards or conduct for an industry. NFA, FINRA (formerly known as NASD) and the securities and futures exchanges in the U.S. are examples of domestic SROs.

**UNITED STATES CRIMINAL CODE:**

Section 152: Concealment of assets, making false claims or bribery in connection with a bankruptcy

Section 1341,

1342 or 1343: Mail fraud

Chapter 25: Counterfeiting and forgery

Chapter 47: Fraud or false statements in a matter within the jurisdiction of a United States department or agency

Chapter 95

or 96: Racketeering and Racketeering Influence

#### Completing the Proficiency Requirements Section

Individuals who are applying for registration as an AP or who are principals of a sole proprietorship must satisfy proficiency requirements. Individuals who have already satisfied the proficiency requirements do not need to complete the Proficiency Requirements section. An individual will have satisfied the proficiency requirements if:

- NFA has evidence that the individual has taken and passed the National Commodity Futures Examination (Series 3) or the Limited Futures Examination-Regulations (Series 32):
  - within two years prior to the date the application is filed; or
  - more than two years prior to the date the application is filed and since that date there has not been a period of two consecutive years during which the individual was not registered as an AP or FB or was not an approved principal of a registrant; or
- The individual is registered as a Floor Broker on the date the application is filed.

The electronic version of the application will assess whether an individual has already satisfied the proficiency requirements, and, if so, those pages will not be displayed.

Individuals who must complete the Proficiency Requirements section must indicate whether they intend to use

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the Series 3 examination or one or more alternative means to satisfying proficiency requirements. Some of the alternatives require that an individual limit the activities that he or she intends to engage in and to pass an alternative examination. Individuals who have already passed an alternative examination do not complete the questions related to alternative examinations if:

- NFA has evidence that the individual has taken and passed the examination that the individual intends to use to satisfy the alternative proficiency requirement:
  - within two years prior to the date the application is filed; or
  - more than two years prior to the date the application is filed and since that date there has not been a period of two consecutive years during which the individual was not registered as an AP or FB or was not an approved principal of a registrant.

The electronic version of the application will assess whether an individual has already passed the applicable alternative examination, and, if so, questions about those examinations will not be displayed.

Individuals seeking approval as a forex associated person or as a sole proprietor forex firm must satisfy proficiency requirements before engaging in off-exchange forex business with retail customers. Individuals who have already satisfied the proficiency requirements do not need to complete the Proficiency Requirements section. An individual will have satisfied the proficiency requirements if:

- NFA has evidence that the individual has passed the Series 3 or Series 32 exam requirement (as described above) and
  - NFA has received satisfactory evidence that the applicant has passed the Series 34 within two years of the date the application is filed or
  - since the date the applicant last passed the Series 34 there has not been a period of two consecutive years during which the applicant has not been either registered as an AP or FB or was not an approved principal of a registrant; or
- the applicant was registered as an AP, FB or an approved sole proprietor principal on May 22, 2008, and there has not been a period of two consecutive years since that date during which the applicant has not been either registered as an AP or FB or was not an approved principal of a registrant.

The electronic version of the application will assess whether an individual has already satisfied the proficiency requirements, and, if so, those pages will not be displayed.

Individuals filing as Branch Office Managers must indicate whether they will satisfy the Branch Manager proficiency requirements using the Branch Manager Examination (Series 30) or an alternative. The individual does not complete the Branch Manager proficiency section if the individual has already satisfied the Branch Manager proficiency requirements. An individual will have already satisfied the Branch Manager proficiency requirements if NFA has evidence that the individual has taken and passed the Series 30 and since the date the individual last ceased acting as a branch office manager, there has not been a period of two consecutive years during which he or she has not been registered as an AP.

The electronic version of the application will also assess whether an individual filing as a Branch Office Manager has already satisfied the Branch Manager proficiency requirements, and, if so, that section will not be displayed.

#### **Additional Assistance**

Additional information regarding registration requirements and specific topics can be found on the Registration page of NFA's web site at [www.nfa.futures.org](http://www.nfa.futures.org). NFA's Information Center, (800-621-3570 or 312-781-1410), is also available to provide assistance. It's normal hours are Monday through Friday, from 8:00 AM to 5:00 PM CT.

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Indicate the individual's full legal name. Do not use nicknames or abbreviations. For example, if the individual's name is Charles, enter Charles, not Chuck.

First & Middle\*  Last\*  Suffix   
NFA ID#\*

**Sponsor Information and Registration Categories**

Only individuals filing as Associated Persons, Branch Office Managers, Forex Associated Persons, Swap Associated Persons or [Principals](#) complete this section.

Enter sponsor information and check category(ies).

Sponsor Information	
Sponsor*	<input type="text"/>
Branch ID*	<input type="text"/>

  

Registration Categories*		
<input type="checkbox"/> Associated Person	<input type="checkbox"/> Branch Office Manager	<input type="checkbox"/> <a href="#">Principal</a>

Only applicants whose sponsor is designated as a Forex Firm answer this question.

Will your activities involve the solicitation of customers for managed accounts, pooled investment vehicles, or individual accounts or transactions in off-exchange foreign currency transactions as described in Sections 2(c)(2)(B) or 2(c)(2)(C) of the Act, or the supervision of persons involved in such solicitation activities?\*

Yes       No

Only applicants whose sponsor is designated as a Swap Firm answer these questions.

Will your activities involve the solicitation of customers for swaps transactions subject to the jurisdiction of the Commodity Futures Trading Commission or the supervision of persons involved in such solicitation activities?\*

Yes       No

If yes, Individual's activities involve:

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

Only individuals filing as Floor Brokers or Floor Traders complete this section.

Registration Categories*	
<input type="checkbox"/> Floor Broker	<input type="checkbox"/> Check here if you are requesting a change from floor trader to floor broker or floor broker to floor trader.
<input type="checkbox"/> Floor Trader	

\*Required to file application



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Only individuals filing as [Principals](#) complete this section.

**Principal Information**

Enter information.

Title*	<input type="text"/>
<a href="#">10% or more interest</a> * Yes <input type="radio"/>	No <input type="radio"/>

**Personal Information**

Enter information.

**Residential Address**

P.O. Box address is not acceptable.

Street Address1*	<input type="text"/>		
Street Address2	<input type="text"/>		
Street Address3	<input type="text"/>		
City**	<input type="text"/>		
State* (US Only)	<input type="text"/>	Province	<input type="text"/>
Zip/Postal Code**	<input type="text"/>		
Country*	<input type="text"/>		

**Birth Information**

Date of Birth*	<input type="text"/>		
City**	<input type="text"/>		
State* (US Only)	<input type="text"/>	Province	<input type="text"/>
Country*	<input type="text"/>		

Social Security #	<input type="text"/>
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\*Required to file application

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

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Personal Information (continued)

Fingerprint Card Demographic Information

The following information is used to conduct a criminal background check with the U.S. Federal Bureau of Investigations. The FBI requires this information to be submitted with your fingerprints to perform this check.

Gender\*  Male  Female

Race\*

Eye Color\*

Hair Color\*

Height\*  feet  inch(es)

Weight\*  pounds

Country of Citizenship

E-mail Address

CRD ID\*\*

\*Required to file application

\*\*Required for individuals who intend to satisfy proficiency requirements based on their status as a registered General Securities Representative of the Sponsor and for individuals filing as Branch Office Managers who are eligible to be Branch Office Managers under FINRA rules.

Other Names

Enter any [other name](#) by which you are or have been known.

Other Names

First Name  Last Name

First Name  Last Name

First Name  Last Name

First Name  Last Name

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Only individuals filing as Floor Brokers or Floor Traders complete this section.

### Exchange Affiliation\*

Select the exchange(s) at which you have been granted membership or trading privileges or at which you have an application pending.

- |      |                          |                              |
|------|--------------------------|------------------------------|
| CBOT | <input type="checkbox"/> | Chicago Board of Trade       |
| CEI  | <input type="checkbox"/> | Commodity Exchange Inc.      |
| CFE  | <input type="checkbox"/> | CBOE Futures Exchange LLC    |
| CME  | <input type="checkbox"/> | Chicago Mercantile Exchange  |
| ICE  | <input type="checkbox"/> | ICE Futures US Inc.          |
| MGE  | <input type="checkbox"/> | Minneapolis Grain Exchange   |
| NFX  | <input type="checkbox"/> | NASDAQ Futures Inc           |
| NYME | <input type="checkbox"/> | New York Mercantile Exchange |

Only individuals filing as Floor Brokers or Floor Traders complete this section.

### Business Mailing Address

Enter information.

Business Mailing Address	
Street Address1*	<input type="text"/>
Street Address2	<input type="text"/>
Street Address3	<input type="text"/>
City**	<input type="text"/>
State* (US Only)	<input type="text"/>
Province	<input type="text"/>
Zip/Postal Code**	<input type="text"/>
Country*	<input type="text"/>
E-mail Address	<input type="text"/>

\*Required to file application

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

# NATIONAL FUTURES ASSOCIATION

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### Disciplinary Information - Criminal Disclosures

For additional assistance and information on completing this page, refer to the Instructions and Definition of Terms at the beginning of this document.

**ANSWER THE FOLLOWING QUESTIONS. YOU MUST ANSWER "YES" TO THE QUESTIONS ON THIS PAGE EVEN IF:**

- **ADJUDICATION OF GUILT WAS WITHHELD OR THERE WAS NO CONVICTION; OR**
- **THERE WAS A CONDITIONAL DISCHARGE OR POST-CONVICTION DISMISSAL AFTER SUCCESSFUL COMPLETION OF A SENTENCE; OR**
- **A STATE CERTIFICATE OF RELIEF FROM DISABILITIES OR SIMILAR DOCUMENT WAS ISSUED RELIEVING THE HOLDER OF FORFEITURES, DISABILITIES OR BARS RESULTING FROM A CONVICTION; OR**
- **THE RECORD WAS EXPUNGED OR SEALED; OR**
- **A PARDON WAS GRANTED.**

**YOU MAY ANSWER "NO" IF THE CASE WAS DECIDED IN A JUVENILE COURT OR UNDER A YOUTH OFFENDER LAW.**

A.\* (1) Have you personally  
or  
(2) has any [entity](#) of which you were a [principal](#) (based on activities that occurred while you were a [principal](#))  
  
ever pled guilty or nolo contendere ("no contest") to or been convicted or found guilty of any [felony](#) in any domestic, foreign or military court?  
 Yes  No

B.\* (1) Have you personally  
or  
(2) has any [entity](#) of which you were a [principal](#) (based on activities that occurred while you were a [principal](#))  
  
ever pled guilty to or been convicted or found guilty of any [misdemeanor](#) in any domestic, foreign or military court which involves:  

- embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or
- violation of [sections 7203, 7204, 7205 or 7207 of the Internal Revenue Code of 1986](#); or
- violation of [sections 152, 1341, 1342, or 1343 or chapters 25, 47, 95 or 96 of the United States Criminal Code](#); or
- any transaction in or advice concerning futures, options, leverage transactions or securities?

 Yes  No

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Disciplinary Information - Criminal Disclosures

For additional assistance and information on completing this page, refer to the Instructions and Definition of Terms at the beginning of this document.

C.\* (1) Are you personally  
OR  
(2) has any entity of which you were a principal (based on activities that occurred while you were a principal)  
  
a party to any action, or is there a charge pending, the resolution of which could result in a "Yes" answer to the above questions?  
 Yes  No

Individuals who are filing their first application for registration in the futures industry do not answer this question.

For any "Yes" answer to the questions above, have you previously provided NFA or the CFTC all supplemental documentation for all matters requiring a "Yes" answer?\*

Yes  No

Would you like to provide details of any criminal matter?

Yes  No

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Matter Information - Criminal Disclosures

For each matter for which you have not provided all supporting documentation, you must provide a detailed explanation of the event or conduct. You can enter up to three (3) matters in this document. If you have more than three (3) matters which you must explain, please do so in another document such as Microsoft Word and attach it to this document.

If you must provide a detailed explanation for a matter, the explanation must be in writing and sent to NFA or entered below. The explanation must include:

Matter Name:

(e.g., 1999 Theft Arrest/Charge; 99-CM-105)

When and where the event occurred, parties involved, circumstances, case number and court jurisdiction, allegations/[charges](#), classification of the [charges](#), plea and sentencing information, and the final disposition.

AND IN ADDITION, YOU MUST PROVIDE THE FOLLOWING:

Copies of court documentation which show:

- the [charges](#);
- the classification of the offense, (i.e., [felony](#) or [misdemeanor](#));
- the plea, sentencing and probation information, as applicable; and
- the final disposition.

If you are unable to obtain the documents for the criminal matter, you must provide a letter from the court verifying the documents' unavailability.

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Matter Information - Criminal Disclosures (additional matters, if needed)

Matter Name:   
(e.g., 1999 Theft Arrest/Charge; 99-CM-105)

When and where the event occurred, parties involved, circumstances, case number and court jurisdiction, allegations/[charges](#), classification of the [charges](#), plea and sentencing information, and the final disposition.

AND IN ADDITION, YOU MUST PROVIDE THE FOLLOWING:

Copies of court documentation which show:

- the [charges](#);
- the classification of the offense, (i.e., [felony](#) or [misdemeanor](#));
- the plea, sentencing and probation information, as applicable; and
- the final disposition.

If you are unable to obtain the documents for the criminal matter, you must provide a letter from the court verifying the documents' unavailability.

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Matter Information - Criminal Disclosures (additional matters, if needed)

Matter Name:   
(e.g., 1999 Theft Arrest/Charge; 99-CM-105)

When and where the event occurred, parties involved, circumstances, case number and court jurisdiction, allegations/[charges](#), classification of the [charges](#), plea and sentencing information, and the final disposition.

AND IN ADDITION, YOU MUST PROVIDE THE FOLLOWING:

Copies of court documentation which show:

- the [charges](#);
- the classification of the offense, (i.e., [felony](#) or [misdemeanor](#));
- the plea, sentencing and probation information, as applicable; and
- the final disposition.

If you are unable to obtain the documents for the criminal matter, you must provide a letter from the court verifying the documents' unavailability.



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Disciplinary Information - Regulatory Disclosures

For additional assistance and information on completing this page, refer to the Instructions and Definition of Terms at the beginning of this document.

Answer the following questions.

D.\* In any case brought by a domestic or foreign governmental body (other than the CFTC),  
(1) have you personally  
or  
(2) has any [entity](#) of which you were a [principal](#) (based on activities that occurred while you were a [principal](#))  
  
ever been permanently or temporarily [enjoined](#) after a hearing or default or as the result of a settlement, consent decree or other agreement, from engaging in or continuing any activity involving:  
• any transaction in or advice concerning futures, options, leverage transactions or securities; or  
• embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property?  
 Yes  No

E.\* In any case brought by a domestic or foreign governmental body (other than the CFTC),  
(1) have you personally  
or  
(2) has any [entity](#) of which you were a [principal](#) (based on activities that occurred while you were a [principal](#))  
  
ever been [found](#) after a hearing or default or as the result of a settlement, consent decree or other agreement, to:  
• have violated any provision of any [investment-related statute](#) or regulation; or  
• have violated any statute, rule, regulation or order which involves embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or  
• have willfully aided, abetted, counseled, commanded, induced or procured such violation by any other person?  
 Yes  No

F.\* (1) Have you personally  
or  
(2) has any [entity](#) of which you were a [principal](#) (based on activities that occurred while you were a [principal](#))  
  
ever been debarred by any agency of the United States from contracting with the United States?  
Yes  No

-continued on next page-

# NATIONAL FUTURES ASSOCIATION

## INDIVIDUAL APPLICATION

### Disciplinary Information - Regulatory Disclosures

For additional assistance and information on completing this page, refer to the Instructions and Definition of Terms at the beginning of this document.

Answer the following questions.

G.\* (1) Have you personally  
or  
(2) has any [entity](#) of which you were a [principal](#) (based on activities that occurred while you were a [principal](#))  
  
ever been the subject of any order issued by or a party to any agreement with a domestic or foreign regulatory authority (other than the CFTC), including but not limited to a licensing authority, or [self-regulatory organization](#) (other than NFA or a domestic futures exchange) that prevented or restricted your ability to engage in any business in the [financial services industry](#)?  
 Yes  No

H.\* Are any of the orders or other agreements described in Question G currently in effect against you?  
 Yes  No

I.\* (1) Are you personally  
OR  
(2) has any [entity](#) of which you were a [principal](#) (based on activities that occurred while you were a [principal](#))  
  
a party to any action, or is there a [charge](#) pending, the resolution of which could result in a “Yes” answer to the above questions?  
 Yes  No

Individuals who are filing their first application for registration in the futures industry do not answer this question.

For any “Yes” answer to the questions above, have you previously provided NFA or the CFTC all supplemental documentation for all matters requiring a “Yes” answer?\*

Yes  No

Would you like to provide details of any regulatory matter?

Yes  No

**NATIONAL FUTURES ASSOCIATION**

**INDIVIDUAL APPLICATION**

**Matter Information - Regulatory Disclosures**

For each matter for which you have not provided all supporting documentation, you must provide a detailed explanation of the event or conduct. You can enter up to three (3) matters in this document. If you have more than three (3) matters which you must explain, please do so in another document such as Microsoft Word and attach it to this document.

If you must provide a detailed explanation for a matter, the explanation must be in writing and sent to NFA or entered below. The explanation must include:

Matter Name:

(e.g., March 1999 SEC case; FINRA Case No. CM10034)

When the event occurred, parties involved, case number, allegations/charges, and the final disposition.

**AND IN ADDITION, YOU MUST PROVIDE THE FOLLOWING:**

Copies of documentation which show:

- the allegations;
- the final disposition.

If you are unable to obtain the documents you must provide an explanation on a separate sheet stating why documents are not obtainable.

**NATIONAL FUTURES ASSOCIATION**

**INDIVIDUAL APPLICATION**

**Matter Information - Regulatory Disclosures** (additional matters, if needed)

Matter Name:

(e.g., March 1999 SEC case; FINRA Case No. CM10034)

When the event occurred, parties involved, case number, allegations/charges, and the final disposition.

**AND IN ADDITION, YOU MUST PROVIDE THE FOLLOWING:**

Copies of documentation which show:

- the allegations;
- the final disposition.

If you are unable to obtain the documents you must provide an explanation on a separate sheet stating why documents are not obtainable.

**NATIONAL FUTURES ASSOCIATION**

**INDIVIDUAL APPLICATION**

**Matter Information - Regulatory Disclosures** (additional matters, if needed)

Matter Name:

(e.g., March 1999 SEC case; FINRA Case No. CM10034)

When the event occurred, parties involved, case number, allegations/charges, and the final disposition.

**AND IN ADDITION, YOU MUST PROVIDE THE FOLLOWING:**

Copies of documentation which show:

- the allegations;
- the final disposition.

If you are unable to obtain the documents you must provide an explanation on a separate sheet stating why documents are not obtainable.

## NATIONAL FUTURES ASSOCIATION

### INDIVIDUAL APPLICATION

#### Disciplinary Information - Financial Disclosures

For additional assistance and information on completing this page, refer to the Instructions and Definition of Terms at the beginning of this document.

Answer the following questions.

J.\* Have you currently failed to comply with any order to pay any futures-related civil monetary penalties, restitution amounts, disgorgement amounts, reparation amounts or arbitration awards?

Yes  No

K.\* (1) Have you personally  
or  
(2) has any [entity](#) of which you were a [principal](#) (based on activities that occurred while you were a [principal](#))

ever been the subject of an [adversary action](#) brought by, or on behalf of, a bankruptcy trustee?

Yes  No

Individuals who are filing their first application for registration in the futures industry do not answer this question.

For any "Yes" answer to the questions above, have you previously provided NFA or the CFTC all supplemental documentation for all matters requiring a "Yes" answer?\*

Yes  No

Would you like to provide details of any financial matter?

Yes  No

\*Required to file application

**NATIONAL FUTURES ASSOCIATION**

**INDIVIDUAL APPLICATION**

**Matter Information - Financial Disclosures**

For each matter for which you have not provided all supporting documentation, you must provide a detailed explanation of the event or conduct. You can enter up to three (3) matters in this document. If you have more than three (3) matters which you must explain, please do so in another document such as Microsoft Word and attach it to this document.

If you must provide a detailed explanation for a matter, the explanation must be in writing and sent to NFA or entered below. The explanation must include:

Matter Name:

(e.g., 00-R100 Unpaid Award; 98-0125476 Bankruptcy Denied)

When the event occurred, parties involved, circumstances, case number and court jurisdiction, allegations/charges, and the final disposition.

**AND IN ADDITION, YOU MUST PROVIDE THE FOLLOWING:**

Copies of documentation which show:

- the allegations;
- the final disposition.

If you are unable to obtain the documents you must provide an explanation on a separate sheet stating why documents are not obtainable.

**NATIONAL FUTURES ASSOCIATION**

**INDIVIDUAL APPLICATION**

**Matter Information - Financial Disclosures** (additional matters, if needed)

Matter Name:   
(e.g., 00-R100 Unpaid Award; 98-0125476 Bankruptcy Denied)

When the event occurred, parties involved, circumstances, case number and court jurisdiction, allegations/charges, and the final disposition.

**AND IN ADDITION, YOU MUST PROVIDE THE FOLLOWING:**

Copies of documentation which show:

- the allegations;
- the final disposition.

If you are unable to obtain the documents you must provide an explanation on a separate sheet stating why documents are not obtainable.



NATIONAL FUTURES ASSOCIATION

INDIVIDUAL APPLICATION

Matter Information - Financial Disclosures (additional matters, if needed)

Matter Name:   
(e.g., 00-R100 Unpaid Award; 98-0125476 Bankruptcy Denied)

When the event occurred, parties involved, circumstances, case number and court jurisdiction, allegations/charges, and the final disposition.

AND IN ADDITION, YOU MUST PROVIDE THE FOLLOWING:

Copies of documentation which show:

- the allegations;
- the final disposition.

If you are unable to obtain the documents you must provide an explanation on a separate sheet stating why documents are not obtainable.

NATIONAL FUTURES ASSOCIATION

INDIVIDUAL APPLICATION

Disciplinary Information - Employment Disclosures

For additional assistance and information on completing this page, refer to the Instructions and Definition of Terms at the beginning of this document.

Answer the following questions.

- L.\* Have you ever been discharged or permitted to resign for cause as a result of allegations of:
- embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or
  - failure to supervise another person in the conduct of such person's activities as a registrant of the CFTC, SEC, NFA, FINRA or other domestic or foreign [self-regulatory organization](#)?

Yes  No

Individuals who are filing their first application for registration in the futures industry do not answer this question.

For any "Yes" answer to the question above, have you previously provided NFA or the CFTC all supplemental documentation for all matters requiring a "Yes" answer?\*

Yes  No

Would you like to provide details of any employment matter?

Yes  No

\*Required to file application

NATIONAL FUTURES ASSOCIATION

INDIVIDUAL APPLICATION

Matter Information - Employment Disclosures

For each matter for which you have not provided all supporting documentation, you must provide a detailed explanation of the event or conduct. You can enter up to three (3) matters in this document. If you have more than three (3) matters which you must explain, please do so in another document such as Microsoft Word and attach it to this document.

If you must provide a detailed explanation for a matter, the explanation must be in writing and sent to NFA or entered below. The explanation must include:

Matter Name:

(e.g., ABC Company Discharge)

When the event occurred, parties involved, circumstances, allegations/charges, and the final disposition.

AND IN ADDITION, YOU MUST PROVIDE THE FOLLOWING:

Copies of documentation which show:

- the allegations;
- the final disposition.

If you are unable to obtain the documents you must provide an explanation on a separate sheet stating why documents are not obtainable.

**NATIONAL FUTURES ASSOCIATION**

**INDIVIDUAL APPLICATION**

**Matter Information-Employment Disclosures** (additional matters, if needed)

Matter Name:   
(e.g., ABC Company Discharge)

When the event occurred, parties involved, circumstances, allegations/charges, and the final disposition.

**AND IN ADDITION, YOU MUST PROVIDE THE FOLLOWING:**

Copies of documentation which show:

- the allegations;
- the final disposition.

If you are unable to obtain the documents you must provide an explanation on a separate sheet stating why documents are not obtainable.

**NATIONAL FUTURES ASSOCIATION**

**INDIVIDUAL APPLICATION**

**Matter Information-Employment Disclosures** (additional matters, if needed)

Matter Name:   
(e.g., ABC Company Discharge)

When the event occurred, parties involved, circumstances, allegations/charges, and the final disposition.

**AND IN ADDITION, YOU MUST PROVIDE THE FOLLOWING:**

Copies of documentation which show:

- the allegations;
- the final disposition.

If you are unable to obtain the documents you must provide an explanation on a separate sheet stating why documents are not obtainable.

NATIONAL FUTURES ASSOCIATION

INDIVIDUAL APPLICATION

Employment and Education History

The CFTC requires that sponsors attempt to communicate with all of the applicant’s previous employers and educational institutions for the past three years and to maintain documentation in their files that includes the names of the persons contacted and the dates of contact or, if no contact was made, the reason why.

Enter your employment and personal history, working back 10 years. All time must be accounted for, including self-employment, part-time employment, unemployment, military service and full-time education. There are 10 spaces available to submit this information. If more than 10 spaces are needed, complete the information in another document such as Microsoft Word and attach it to this document.

Month/Year	Employment/School
From*: <input type="text"/>	Name*: <input type="text"/>
To: <input type="text"/>	Location: <input type="text"/>
	(city, state or country)
	Position Held and Reason for Leaving: <input type="text"/>

Month/Year	Employment/School
From*: <input type="text"/>	Name*: <input type="text"/>
To: <input type="text"/>	Location: <input type="text"/>
	(city, state or country)
	Position Held and Reason for Leaving: <input type="text"/>

Month/Year	Employment/School
From*: <input type="text"/>	Name*: <input type="text"/>
To: <input type="text"/>	Location: <input type="text"/>
	(city, state or country)
	Position Held and Reason for Leaving: <input type="text"/>

\*Required to file application

**NATIONAL FUTURES ASSOCIATION**

**INDIVIDUAL APPLICATION**

**Employment and Education History (additional spaces, if needed)**

Month/Year	Employment/School
From*: <input type="text"/>	Name*: <input type="text"/>
To: <input type="text"/>	Location: <input type="text"/>
	(city, state or country)
	Position Held and Reason for Leaving: <input type="text"/>

Month/Year	Employment/School
From*: <input type="text"/>	Name*: <input type="text"/>
To: <input type="text"/>	Location: <input type="text"/>
	(city, state or country)
	Position Held and Reason for Leaving: <input type="text"/>

Month/Year	Employment/School
From*: <input type="text"/>	Name*: <input type="text"/>
To: <input type="text"/>	Location: <input type="text"/>
	(city, state or country)
	Position Held and Reason for Leaving: <input type="text"/>

Month/Year	Employment/School
From*: <input type="text"/>	Name*: <input type="text"/>
To: <input type="text"/>	Location: <input type="text"/>
	(city, state or country)
	Position Held and Reason for Leaving: <input type="text"/>

\*Required to file application

**NATIONAL FUTURES ASSOCIATION**

**INDIVIDUAL APPLICATION**

**Employment and Education History (additional spaces, if needed)**

Month/Year	Employment/School
From*: <input type="text"/>	Name*: <input type="text"/>
To: <input type="text"/>	Location: <input type="text"/>
	(city, state or country)
	Position Held and Reason for Leaving: <input type="text"/>

Month/Year	Employment/School
From*: <input type="text"/>	Name*: <input type="text"/>
To: <input type="text"/>	Location: <input type="text"/>
	(city, state or country)
	Position Held and Reason for Leaving: <input type="text"/>

Month/Year	Employment/School
From*: <input type="text"/>	Name*: <input type="text"/>
To: <input type="text"/>	Location: <input type="text"/>
	(city, state or country)
	Position Held and Reason for Leaving: <input type="text"/>

\*Required to file application



**NATIONAL FUTURES ASSOCIATION**

**INDIVIDUAL APPLICATION**

**Residential History**

List your past residential addresses, working back five (5) years. Post office box address is not acceptable. There are five (5) spaces available to submit this information. If more than five (5) spaces are needed, complete the information in another document such as Microsoft Word and attach it to this document.

Month/Year	Address
From*: <input type="text"/> To: <input type="text"/>	<input type="text"/>

Month/Year	Address
From*: <input type="text"/> To: <input type="text"/>	<input type="text"/>

Month/Year	Address
From*: <input type="text"/> To: <input type="text"/>	<input type="text"/>

Month/Year	Address
From*: <input type="text"/> To: <input type="text"/>	<input type="text"/>

Month/Year	Address
From*: <input type="text"/> To: <input type="text"/>	<input type="text"/>

## NATIONAL FUTURES ASSOCIATION

### INDIVIDUAL APPLICATION

Only individuals filing as Associated Persons or as [Principals](#) of sole proprietorships complete the Proficiency Requirements sections.

#### Proficiency Requirements

Select one.

##### Series 3 Examination\*

- You have passed the Series 3 Examination within the past two (2) years.
- You intend to take the Series 3 Examination.
- You intend to satisfy Alternative Proficiency Requirement.

Only individuals filing as forex associated persons complete this section. Select one.

##### Series 34 Examination\*

- You have passed the Series 34 Examination within the past two years.
- You intend to take the Series 34 Examination.

Only individuals filing as Branch Office Managers complete this section. Select one.

##### Series 30 Examination\*

- You have passed the Series 30 Examination within the past two (2) years.
- You intend to take the Series 30 Examination.
- You are eligible to be a Branch Office Manager or [Designated Supervisor](#) under FINRA Rules.

Only individuals who indicated that they intend to satisfy an alternative proficiency requirement and whose sponsor is an FCM or IB complete this section. Check either of the first two boxes that apply or check the last box.

If you have indicated that you intend to satisfy proficiency requirements through an alternative to the Series 3 examination, or if you are a registered General Securities Representative of the sponsor and are applying for an AP registration that limits your futures activity to any of the two following activities, check each that applies:

- You limit futures activities to those activities covered in the Futures Managed Funds Examination (Series 31): the solicitation of pool participants and/or the solicitation of discretionary accounts managed by a CTA, or the supervision of others engaged in such solicitations.
- You limit your futures activity as provided in Registration Rule 401(b) to referring clients to another AP of the sponsor or to supervising others who make such referrals.

- Check here if you have been registered or licensed to solicit futures business by a foreign regulatory authority located in Canada or the United Kingdom within the past two years and are therefore eligible to satisfy the proficiency requirements by passing the Limited Futures Examination – Regulations (Series 32).

\*Required to file application

**NATIONAL FUTURES ASSOCIATION**

**INDIVIDUAL APPLICATION**

**Proficiency Requirements**

Only individuals who indicated that they intend to satisfy an alternative proficiency requirement and whose sponsor is a CPO, CTA or both complete this section. Select one.

Check here if you have been registered or licensed to solicit futures business by a foreign regulatory authority located in Canada or the United Kingdom within the past two years and are therefore eligible to satisfy the proficiency requirements by passing the Limited Futures Examination – Regulations (Series 32).

Check here if your sponsor is a CPO that operates pools primarily engaged in securities transactions or a CTA that provides futures trading advice solely incidental to its securities advisory services and your sponsor has been granted or is seeking a waiver from the Series 3 for its APs pursuant to the Interpretive Notices to Registration Rule 402.

Check here if your sponsor is a CPO that trades swaps subject to the jurisdiction of the CFTC in a commodity pool that but for the trading of such swaps would be eligible for the exclusion under CFTC Regulation 4.5(c)(2)(iii)(A) or (B) or the exemption under CFTC Regulations 4.13(a)(3) and the sponsor has been granted or is seeking a waiver from the Series 3 for its APs pursuant to NFA Registration Rule 401(e)(2)(ii) or if your sponsor is a CTA that provides advice on behalf of the sponsor to a commodity pool as described above.

Only individuals who indicated that they intend to limit their activities to solicitation of managed funds complete this section. Select one.

**Series 31 Examination\***  
Futures Managed Funds Examination

- You have passed the Series 31 Examination within the past two (2) years.
- You intend to take the Series 31 Examination.

Only individuals who indicated that they have been registered in the U.K. or Canada in the last two years complete this section. Select one.

**Series 32 Examination\***  
Limited Futures Examination

- You have passed the Series 32 Examination within the past two (2) years.
- You intend to take the Series 32 Examination.

\*Required to file application

**TEMPLATE: DO NOT SEND TO NFA**

## **NATIONAL FUTURES ASSOCIATION**

### **INDIVIDUAL APPLICATION**

Only individuals whose sponsor is a broker-dealer complete this section, Select one.

#### **Fingerprint Card**

##### Fingerprint Card

- The applicant's properly signed fingerprint card(s) will be sent to NFA.
- The applicant's properly signed fingerprint card(s) were sent to FINRA within the past 90 days.

INDIVIDUAL APPLICATION

Privacy Act and Paperwork Reduction Act Notice

OMB Numbers 3038-0023 and 3038-0072

Privacy Act and Paperwork Reduction Act Notice

The information in Forms 7-R, 7-W, 8-R and 8-T and on the fingerprint card is being collected pursuant to authority granted in Sections 2c, 4f, 4k, 4n, 4s, 8a and 19 of the Commodity Exchange Act [7 U.S.C. §§ 6f, 6k, 6n, 6s, 12a and 23]. Under Section 2c, it is unlawful for anyone to engage in off-exchange foreign currency futures transactions or off-exchange foreign currency leveraged, margined or financed transactions with persons who are not eligible contract participants without registration, or exemption from registration, as a retail foreign exchange dealer, futures commission merchant, introducing broker, commodity pool operator or commodity trading advisor, as appropriate. Under Section 4d of the Commodity Exchange Act [7 U.S.C. §6d], it is unlawful for anyone to act as a futures commission merchant or introducing broker without being registered in that capacity under the Act. Under Section 4m of the Commodity Exchange Act [7 U.S.C. §6m], it is unlawful for a commodity trading advisor or commodity pool operator to make use of the mails or any means or instrumentality of interstate commerce in connection with his business as a commodity trading advisor or commodity pool operator without being registered in the appropriate capacity under the Act, except that a commodity trading advisor who, during the course of the preceding 12 months, has not furnished commodity trading advice to more than 15 persons and does not hold himself out generally to the public as a commodity trading advisor, need not register. Under Section 4s of the Commodity Exchange Act [7 U.S.C. §6s], it is unlawful for anyone to act as a swap dealer or major swap participant without being registered in that capacity under the Act. Under Section 19 of the Commodity Exchange Act [7 U.S.C. §23] and Section 31.5 of the CFTC's regulations, it is unlawful for anyone to act as a leverage transaction merchant without being registered in that capacity under the Act.

The information requested in Form 7-R is designed to assist NFA and the CFTC, as appropriate, in determining whether the application for registration should be granted or denied and to maintain the accuracy of registration files. The information in Form 7-W is designed to assist NFA and the CFTC in determining whether it would be contrary to the requirements of the Commodity Exchange Act, or any rule, regulation or order thereunder, or the public interest to permit withdrawal from registration.

The information requested in Form 8-R and on the fingerprint card will be used by the CFTC or NFA, as appropriate, as a basis for initiating an inquiry into the individual's fitness to be an associated person, floor broker or floor trader or to be a principal of a futures commission merchant, swap dealer, major swap participant, retail foreign exchange dealer, introducing broker, commodity trading advisor, commodity pool operator, leverage transaction merchant or non-natural person floor trader. Portions of the information requested in Form 8-R will be used by the CFTC and, in appropriate cases, by NFA, to confirm the registration of certain associated persons. The information requested in Form 8-T will be used by the CFTC, and, in appropriate cases, by NFA, to record the registration status of the individual and, in appropriate cases, as a basis for further inquiry into the individual's fitness to remain in business subject to the CFTC's jurisdiction.

With the exception of the social security number, all information in Forms 8-R and 8-T must be furnished. Disclosure of the social security number is voluntary. Disclosure of the Federal employer identification number is voluntary. The Social security number and the Federal employer identification number are sought pursuant to the Debt Collection Improvement Act of 1996. Under the Debt Collection Improvement Act, a social security number or a taxpayer identifying number furnished to the CFTC as part of the registration process can be used for purposes of collecting and reporting on any debt owed to the U.S. Government, including civil monetary penalties. The furnishing of a social security number or Federal employer identification number, however, assists the CFTC and NFA in identifying individuals and firms and therefore expedites the processing of those forms.

The failure by an applicant, registrant or principal to timely file a properly completed Form 7-R and all other related required filings may result in the denial of an application for registration or withdrawal thereof or, in the case of an annual records maintenance fee, treating the registrant as having petitioned for withdrawal. Failure by an applicant, registrant or principal

NATIONAL FUTURES ASSOCIATION

INDIVIDUAL APPLICATION

Privacy Act and Paperwork Reduction Act Notice

to timely file or cause to be filed a properly completed Form 8-R or 8-T, any other required related filings, or a fingerprint card may result in the lapse, denial, suspension or revocation of registration, withdrawal of the application or other enforcement or disciplinary action by the CFTC or NFA.

With the exception of the fingerprint card, any information contained in the Personal Information Section and any information contained in Matter Information pages related to the Disciplinary Information Sections on Form 8-R and on Form 8-T or Item 7 on Form 8-W, the Forms 7-R, 7-W, 8-R and 8-T are considered by the CFTC to be public records and will be available for inspection by any person. Copies will be maintained by National Futures Association, Registration Department, Suite 1800, 300 S. Riverside Plaza, Chicago, IL 60606-6615. Further, the CFTC or NFA may disclose the fingerprint card and any other information described above to third parties pursuant to routine uses which the CFTC has published in the Federal Register or as otherwise authorized under the Privacy Act, [5 U.S.C. §552a], and the Commodity Exchange Act. Disclosure of such information may be made by the CFTC as follows: (1) in connection with administrative proceedings or matters in litigation; (2) in connection with investigations; (3) where the information is furnished to regulatory, self-regulatory and law enforcement or other governmental agencies to assist them in meeting responsibilities assigned to them by law or made available to any member of Congress who is acting in his or her capacity as a member of Congress; (4) where disclosure is required under the Freedom of Information Act [5 U.S.C. §552]; (5) in connection with an employer’s hiring or retention of an employee; (6) in connection with the verification of information submitted for sponsorship purposes; (7) in other circumstances in which the withholding of such information appears unwarranted; and (8) in connection with legally required or authorized reports. Disclosure may be made by NFA in accordance with rules approved by the CFTC.

If an individual believes that the placing in the CFTC’s or NFA’s public files of any of the information contained in the Personal Information Section or in Matter Information pages related to Disciplinary Information on Form 8-R and on Form 8-T or Item 7 on Form 8-W, or on the fingerprint card would constitute an unwarranted invasion of his personal privacy, the individual may petition the CFTC, pursuant to 17 CFR 145.9, to treat such information as confidential in response to requests under the Freedom of Information Act (FOIA) [5 U.S.C. §552]. The CFTC will make no determination as to confidential treatment of information submitted unless and until the information is the subject of an FOIA request. The filing of a petition for confidential treatment, however, does not guarantee that the information will be treated confidentially in response to an FOIA request.

Forms which have not been prepared and executed in compliance with applicable requirements may not be acceptable for filing. Acceptance of this form shall not constitute any finding that the information is true, current or complete. Misstatements or omissions of fact may constitute federal criminal violations [7 U.S.C. §13 and 18 U.S.C. §1001] or grounds for disqualification from registration.

This notice is provided in accordance with the requirements of the Privacy Act, [5 U.S.C. §552a(e)(3)] and summarizes some of an individual’s rights under the Privacy Act [5 U.S.C. §552a] and the Freedom of Information Act [5 U.S.C. §552]. Individuals desiring further information should consult the CFTC’s regulations under the Privacy Act, 17 CFR Part 146, and under the Freedom of Information Act, 17 CFR Part 145, and the CFTC’s annual notice, published in the Federal Register, pursuant to the Privacy Act, of the existence and character of each system of records maintained by the CFTC.

You are not required to provide the information requested on a form subject to the Paperwork Reduction Act unless the form displays a valid OMB Control Number.

The time needed to complete and file Form 7-R, Form 3-R, Form 7-W, Form 8-R and Form 8-T and Form 8-W may vary depending upon individual circumstances. The estimated average times are:

Form 7-R				Form 3-R	0.1 hours
FCM	0.5 hours	IB	0.4 hours	Form 7-W	0.1 hours
SD	1.0 hour	CPO	0.4 hours	Form 8-R	0.8 hours
MSP	1.0 hour	CTA	0.4 hours	Form 8-T	0.2 hours
RFED	0.5 hours	FT	0.5 hours	Form 8-W	0.1 hours

NATIONAL FUTURES ASSOCIATION

INDIVIDUAL APPLICATION

Sponsor Agreement

Certifications made by Sponsor of individuals filing as Associated Persons, Branch Office Managers, Forex Associated Persons or Principals

BY FILING THIS FORM 8-R, THE SPONSOR AGREES THAT SUCH FILING CONSTITUTES THE SPONSOR'S certification that the Form 8-R is, to the best of the sponsor's knowledge, information and belief, true, complete and accurate and that in light of the circumstances under which the sponsor has given them, the answers and statements in the Form 8-R are not misleading in any material respect;

certification that the AP applicant, Forex AP applicant, Swap AP applicant or principal has authorized the sponsor to electronically file the Form 8-R on the AP applicant's, Forex AP applicant's or Swap AP applicant's behalf or the principal's behalf and that the sponsor has authorized the person who files the application to file the Form 8-R and to make the certifications, acknowledgements, authorizations, representations, requests and agreements contained in this Rule; acknowledgement that the sponsor is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions it made in the Form 8-R; acknowledgement that while the individual is an AP sponsored by or a principal of the sponsor, the sponsor is responsible for maintaining the information in the Form 8-R in a complete, accurate and current manner by electronically filing updates to the information contained therein; certification that the sponsor has communicated or has attempted to communicate with all of the applicant's previous employers and educational institutions for the past three years and has documentation on file with the names of the persons contacted and the dates of contact or, if no contact was made, the reason therefor; certification that the applicant has been hired or is employed by the sponsor or that it is the intention of the sponsor to hire or otherwise employ the applicant as an AP within 30 days after receipt of notification that the applicant has received a TL or has been registered; certification that the applicant will not be permitted to act as an AP until the applicant has received a TL or has been registered as an AP, to act as a Forex AP until the applicant has been approved as a Forex AP or to act as a Swap AP until the applicant has been approved as a Swap AP; acknowledgement that it is the duty and obligation of the sponsor not to employ an individual with a statutory disqualification under Section 8a(2) of the Act, to notify the Commission when any individual associated with the sponsor is subject to a statutory disqualification under Section 8a(2) of the Act and to supervise any individual for whom the sponsor files a Form 8-R, once the sponsor employs him, with a view toward preventing him or her from committing violations of the Act and the rules, regulations and orders thereunder; certification, if the sponsor is a new sponsor filing an application for registration of the applicant as an AP pursuant to the provisions of Rule 207(a), that the sponsor has verified that the applicant is not subject to a disqualification from registration under Section 8a(2) of the Act and that the sponsor meets the requirements set forth in Rule 509(b)(5); acknowledgement that information contained in the Form 8-R has been supplied to the sponsor for the sole purpose of allowing it to verify the information contained in the Form 8-R; representation that the sponsor has taken, and will take, such measures as are necessary to prevent the unwarranted dissemination of any of the information contained in the Form 8-R and the records and documents retained in support of the Form 8-R; certification, if the applicant is applying for a TL pursuant to Rule 301(a)(2), that the sponsor has reviewed the information concerning the applicant in NFA's BASIC system and has received a copy of the notice of the institution of any proceeding in the BASIC system:

that is pending and was brought against the applicant under Sections 6(c), 6(d), 6c, 6d, 8a or 9 of the Act, Commission Regulations 3.55 or 3.60 or NFA or exchange rules or that was instituted in accordance with the procedures provided in CFTC Regulation 3.51 or Part 500 of these Rules and, within the prior 12 months, resulted in the Commission or NFA permitting the withdrawal of such person's application for registration in any capacity; and representation, if the applicant is subject to any current NFA or Commission order imposing conditions on the registration of the applicant, that it meets the requirements set forth in Rule 509(b)(5) to sponsor a conditioned registrant, that it has reviewed the conditions contained in any current NFA or Commission order imposing conditions on the registration of the applicant and that it will supervise the applicant in accordance with the conditions contained in the order.

**TEMPLATE: DO NOT SEND TO NFA**

## **NATIONAL FUTURES ASSOCIATION**

### **INDIVIDUAL APPLICATION**

#### **Floor Broker/Floor Trader Agreement**

Certifications made by individuals filing as Floor Brokers or Floor Traders

**BY FILING THIS FORM 8-R, THE APPLICANT AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT'S**

certification that the answers and statements in the Form 8-R are true, complete and accurate and that in light of the circumstances under which the applicant has given them, the answers and statements in the Form 8-R are not misleading in any material respect; acknowledgement that the applicant is subject to the imposition of criminal penalties under Section 9(a) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the Form 8-R; acknowledgement that the applicant is responsible at all times for maintaining the information in the Form 8-R in a complete, accurate and current manner by electronically filing updates to the information contained therein; acknowledgement that the business address provided on the Form 8-R may be deemed to be the address for delivery to the applicant of any written communications from the Commission and NFA, including any notice of intent to deny, revoke or otherwise affect the applicant's registration, any summons, complaint, reparations claim, arbitration claim, order, subpoena, request for information, or any other written communication unless the applicant specifies another address for this purpose; acknowledgement that the applicant must keep current the business address provided on the Form 8-R while registered and for two years after termination of registration; authorization that NFA may conduct an investigation to determine the applicant's fitness for registration and agreement to cooperate promptly and fully, consistent with applicable Federal law, in such investigation, which investigation may include contacting foreign 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 registration; authorization and request that any person, including but not limited to contract markets, 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 registration; agreement that any person furnishing information to NFA or any agent acting on behalf of NFA in connection with the investigation so authorized is released from any and all liability of whatever nature by reason of furnishing such information to NFA or any agent acting on behalf of NFA; acknowledgement that the applicant is not registered and may not act as an FB or FT until a notice has been issued that registration or a temporary license has been granted; and express agreement that, if the applicant ever applies for and is granted registration as an Associate of a Member of NFA, the applicant shall become and remain bound by all applicable 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, and that this agreement shall apply each time that the applicant is granted registration as an Associate.



## NATIONAL FUTURES ASSOCIATION

### INDIVIDUAL APPLICATION

#### Individual Agreement

BY FILING THIS VERIFICATION, THE APPLICANT OR PRINCIPAL AGREES THAT SUCH FILING CONSTITUTES THE APPLICANT OR PRINCIPAL'S

verification that the answers and statements in the application or Form 8-R are true, complete and accurate and that in light of the circumstances under which the applicant or principal has given them, the answers and statements in the Form 8-R are not misleading in any material respect;

acknowledgement that the applicant or principal is subject to the imposition of criminal penalties under Section 9(b) of the Act and 18 U.S.C. §1001 for any false statements or omissions made in the Form 8-R;

acknowledgement that the applicant or principal is responsible at all times for maintaining the information in the Form 8-R in a complete, accurate and current manner by promptly notifying the sponsor whenever any of the information on the Form 8-R is no longer complete, accurate or current and authorizing the sponsor to electronically file updates to correct the information;

certification, if applying for a TL pursuant to the provisions of Rule 301(a)(2), that the applicant has advised the sponsor of and has provided the sponsor with a copy of the notice of the institution of any pending adjudicatory proceeding that was brought against the applicant under Sections 6(c), 6(d), 6c, 6d, 8a or 9 of the Act, Commission Regulations 3.55 or 3.60 or NFA or exchange rules or any proceeding that was brought against the applicant under Regulation 3.51 or Part 500 of NFA Registration Rules and, within the prior 12 months, resulted in the Commission or NFA permitting the withdrawal of such person's application for registration in any capacity;

acknowledgement that the residential address provided on the Form 8-R may be deemed to be the address for delivery to the applicant or principal of any written communications from the Commission and NFA, including any notice of intent to deny, revoke or otherwise affect the applicant's registration or individual's status as principal, any summons, complaint, reparations claim, arbitration claim, order, subpoena, request for information, or any other written communication unless the applicant or principal specifies another address for this purpose;

acknowledgement that the applicant or principal must keep current the residential address provided on the Form 8-R while registered as an AP or affiliated as a principal and for two years after termination of registration or affiliation;

agreement that the applicant or principal submits to the jurisdiction of any contract market, of which the applicant's or principal's sponsor or any current or future guarantor (under CFTC Rule 1.10(j)) of the applicant's or principal's sponsor is or may become a member, which has or may adopt rules which apply to the applicant as an associated person or principal, and that the applicant or principal shall abide by all such rules and to comply with, be subject to, and abide by all requirements, rulings, orders, directives and decisions of and any penalties, prohibitions and limitations imposed by any such contract market;

authorization that NFA, and any contract market of which the applicant's or principal's sponsor or any current or future guarantor (under CFTC Rule 1.10(j)) of the applicant's or principal's sponsor is or may become a member, may conduct an investigation to determine the applicant's or principal's fitness for registration, and if applicable, for Associate status, and agreement to cooperate promptly and fully, consistent with applicable Federal law, in such investigation, which may include contacting foreign 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 or principal's fitness for registration or Associate status;

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## NATIONAL FUTURES ASSOCIATION

### INDIVIDUAL APPLICATION

#### Individual Agreement

authorization and request that any person, including but not limited to contract markets, or foreign 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 registration or fitness of the principal;

agreement that any person furnishing information to NFA or any agent acting on behalf of NFA in connection with the investigation so authorized is released from any and all liability of whatever nature by reason of furnishing such information to NFA or any agent acting on behalf of NFA;

acknowledgement that the applicant is not registered and may not act as an AP until a notice has been issued that registration or a TL has been granted, that, if applicable, the applicant is not approved as a Forex AP and may not act as a Forex AP until approval has been granted and that, if applicable, the applicant is not approved as a Swap AP and may not act as a Swap AP until approval has been granted;

express agreement that, if the applicant or principal ever applies for and is granted registration as an Associate of a Member of NFA, the applicant or principal shall become and remain bound by all applicable 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, and that this agreement shall apply each time that the applicant or principal is granted registration as an Associate; and

understanding that if the applicant is applying to obtain registration as an associated person, the applicant is also applying for registration with NFA as an Associate if the applicant's sponsor is or becomes a Member of NFA.