

TEMPLATE: DO NOT SEND TO NFA

NATIONAL FUTURES ASSOCIATION

FIRM APPLICATION

Firm Name*

NFA ID#*

Registration Categories and Membership Information

Check category(ies).

Registration Categories*

- | | |
|--|--|
| ☐ Futures Commission Merchant | ☐ Commodity Pool Operator |
| ☐ Introducing Broker | ☐ NFA Member |
| ☐ Commodity Trading Advisor | |

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

Membership Information*

Indicate the category in which the applicant intends to vote on NFA membership matters.

- ☐ Futures Commission Merchant
- ☐ Introducing Broker
- ☐ Commodity Trading Advisor
- ☐ Commodity Pool Operator

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

Is the applicant a member or has the applicant applied for membership at any United States commodity exchange?

- ☐ Yes ☐ No

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Business Information

Enter Information. A sole proprietor may use a P.O. Box address if the business is located in the sole proprietor's residence and a complete residential address is provided on the individual application.

For all others, a P.O. Box address is not acceptable.

Business Address

Street Address1*

Street Address2

Street Address3

City**

State* (US Only)

Province

Zip/Postal Code**

Country*

Phone Number*

Fax Number*

E-Mail Address

Web Site/URL

Federal EIN

CRD/IARD ID

Applicant's Form of Organization*

☐ Sole Proprietorship (Individual)

☐ Partnership

☐ Corporation

☐ Limited Liability Company

☐ Limited Liability Partnership

☐ Trust

Where is the entity incorporated, organized or established: (Sole proprietors do not need to answer this question.)*

State

Country

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Other Names

Enter any other name the applicant does or has done business as.

Other Names

Name		☐ In Use	☐ Not In Use
Name		☐ In Use	☐ Not In Use
Name		☐ In Use	☐ Not In Use
Name		☐ In Use	☐ Not In Use

Location of Business Records

Only domestic applicants complete this section.

Enter the location of the applicant's business records and those records required to be kept by regulation under the Commodity Exchange Act. If the applicant is applying as a CPO or CTA, this address must be the same as the business address (unless the CFTC has granted an exemption to the applicant). P.O. Box address is not acceptable.

Street Address1*	
Street Address2	
Street Address3	
City*	
State*	
Zip/Postal Code*	

Only foreign applicants complete this section. Select one.

Enter the location of the firm's business records and those records required to be kept by regulation under the Commodity Exchange Act. If the firm is a CPO or CTA, this address must be the same as the business address (unless the CFTC has granted an exemption to the firm).

P.O. Box address is not acceptable.

Street Address1*	
Street Address2	
Street Address3	
City**	
State*	
Province	
Zip/Postal Code**	
Country*	

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FIRM APPLICATION

Location of Business Records

Enter the location in the U.S. where the applicant's books and records will be produced for inspection by the CFTC and NFA.

☐ The office of NFA located in New York, NY

☐ The office of NFA located in Chicago, IL

☐ The following address (P.O. Box address is not acceptable):

Office of*

Street Address1*

Street Address2

Street Address3

City*

State*

Zip/Postal Code*

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Holding Company's Information

Enter the full name of any holding company. If none, continue on to the next section. It is important that the full name of the holding company is entered. NFA will assign an NFA ID number to the holding company if one has not already been assigned. An incorrect name could cause a delay in the application process.

Full Name	10% or More Interest	
	☐ Yes	☐ No
	☐ Yes	☐ No
	☐ Yes	☐ No
	☐ Yes	☐ No

Branch Office Information

You can enter up to three (3) branch offices in this document. If you have more than three (3) branch offices, please add them in another document such as Microsoft Word and attach it to this document. If none, continue on to the next section.

Branch ID	
Street Address1*	
Street Address2	
Street Address3	
City**	
State* (US Only)	
Province	
Zip/Postal Code**	
Country*	
Phone Number	
Fax Number	
E-Mail Address	

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FIRM APPLICATION

Branch Office Information (additional spaces, if needed)

Branch ID	
Street Address1*	
Street Address2	
Street Address3	
City**	
State* (US Only)	
Province	
Zip/Postal Code**	
Country*	
Phone Number	
Fax Number	
E-Mail Address	

Branch ID	
Street Address1*	
Street Address2	
Street Address3	
City**	
State* (US Only)	
Province	
Zip/Postal Code**	
Country*	
Phone Number	
Fax Number	
E-Mail Address	

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FIRM APPLICATION

Non-U.S. Regulator Information

Enter the name of each non-U.S. financial services industry regulatory authority or self-regulatory organization that has regulated the applicant during the past five (5) years.

List of Non-U.S. Regulators

FIRM APPLICATION

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. The applicant 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.

The applicant may answer "no" if the case was decided in a juvenile court or under a Youth Offender Law.

A.* Has the applicant 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.* Has the applicant 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

C.* Is the applicant 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

Except applicants that are filing their first application for registration in the futures industry, all applicants must answer this question.

For any "Yes" answer to the questions above, has the applicant 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

FIRM APPLICATION

Matter Information - Criminal Disclosures

For each matter for which the applicant has not provided all supporting documentation, 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, THE APPLICANT 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 the applicant is unable to obtain the documents for the criminal matter, it must provide a letter from the court verifying the documents' unavailability.

FIRM APPLICATION

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, THE APPLICANT 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 the applicant is unable to obtain the documents for the criminal matter, it must provide a letter from the court verifying the documents' unavailability.

FIRM APPLICATION

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, THE APPLICANT 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 the applicant is unable to obtain the documents for the criminal matter, it must provide a letter from the court verifying the documents' unavailability.

FIRM APPLICATION

Disciplinary Information - Regulatory Questions

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), has the applicant 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), has the applicant 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.* Has the applicant ever been debarred by any agency of the United States from contracting with the United States?

☐ Yes ☐ No

G.* Has the applicant 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 the applicant's ability to engage in any business in the [financial services industry](#)?

☐ Yes ☐ No

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***Required to file application**

FIRM APPLICATION

Disciplinary Information - Regulatory Questions

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.

H.* Are any of the orders or other agreements described in Question G currently in effect against the applicant?

☐ Yes ☐ No

I.* Is the applicant 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

Except applicants that are filing their first application for registration in the futures industry, all applicants must answer this question.

For any "Yes" answer to the questions above, has the applicant 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

*Required to file application

FIRM APPLICATION

Matter Information - Regulatory Questions

For each matter for which the applicant has not provided all supporting documentation, 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 the applicant 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; NASD Case No. CM10034)

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

AND IN ADDITION, THE APPLICANT MUST PROVIDE THE FOLLOWING:

Copies of documentation which show:

- the allegations;
- the final disposition.

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

FIRM APPLICATION

Matter Information - Regulatory Questions (additional matters, if needed)

Matter Name:

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

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

AND IN ADDITION, THE APPLICANT MUST PROVIDE THE FOLLOWING:

Copies of documentation which show:

- the allegations;
- the final disposition.

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

FIRM APPLICATION

Matter Information - Regulatory Questions (additional matters, if needed)

Matter Name:

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

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

AND IN ADDITION, THE APPLICANT MUST PROVIDE THE FOLLOWING:

Copies of documentation which show:

- the allegations;
- the final disposition.

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

FIRM APPLICATION

Disciplinary Information - Financial Questions

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

☐ Yes ☐ No

Except applicants that are filing their first application for registration in the futures industry, all applicants must answer this question.

For any "Yes" answer to the question above, has the applicant 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

FIRM APPLICATION

Matter Information - Financial Questions

For each matter for which the applicant has not provided all supporting documentation, 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 the applicant 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, THE APPLICANT MUST PROVIDE THE FOLLOWING:

Copies of documentation which show:

- the allegations;
- the final disposition.

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

FIRM APPLICATION

Matter Information - Financial Questions (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, THE APPLICANT MUST PROVIDE THE FOLLOWING:

Copies of documentation which show:

- the allegations;
- the final disposition.

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

FIRM APPLICATION

Matter Information - Financial Questions (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, THE APPLICANT MUST PROVIDE THE FOLLOWING:

Copies of documentation which show:

- the allegations;
- the final disposition.

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

FIRM APPLICATION

Contact Information

All applicants complete this section.

Enter the individual to whom all registration data and inquiries are to be directed.

Registration Contact

First Name*

Last Name*

Title

Street Address1*

Street Address2

Street Address3

City**

State* (US Only)

Province

Zip/Postal Code**

Country*

Phone Number*

Fax Number

E-Mail Address

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***Required to file application**

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

FIRM APPLICATION

Contact Information

Only applicants for NFA Membership complete this section.

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

Membership Contact

First Name*

Last Name*

Title

Street Address1*

Street Address2

Street Address3

City**

State* (US Only)

Province

Zip/Postal Code**

Country*

Phone Number

Fax Number

E-Mail Address

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FIRM APPLICATION

Contact Information

Only applicants for NFA Membership complete this section.

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

Accounting Contact

First Name*

Last Name*

Title

Street Address1*

Street Address2

Street Address3

City**

State* (US Only)

Province

Zip/Postal Code**

Country*

Phone Number

Fax Number

E-Mail Address

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Contact Information

Only applicants for NFA Membership that are applying as 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 Address1*

Street Address2

Street Address3

City**

State* (US Only)

Province

Zip/Postal Code**

Country*

Phone Number

Fax Number

E-Mail Address

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Contact Information

Only applicants for NFA Membership complete this section.
Enter the individual to whom all arbitration matters are to be directed.

Arbitration Contact

First Name*

Last Name*

Title

Street Address1*

Street Address2

Street Address3

City**

State* (US Only)

Province

Zip/Postal Code**

Country*

Phone Number

Fax Number

E-Mail Address

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Contact Information

Only applicants for NFA Membership complete this section.

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

Compliance Contact

First Name*

Last Name*

Title

Street Address1*

Street Address2

Street Address3

City**

State* (US Only)

Province

Zip/Postal Code**

Country*

Phone Number

Fax Number

E-Mail Address

*Required to file application

**Required to file application for United States address

FIRM APPLICATION

Contact Information

All applicants complete this section.

Enter the information to identify the contact person to whom all enforcement and compliance communications and inquiries from the CFTC are to be directed. You can enter up to three (3) enforcement/compliance contacts in this document. If you have more than three (3), please add them in another document such as Microsoft Word and attach it to this document.

Enforcement/Compliance Contact

First Name*

Last Name*

Title

Street Address1*

Street Address2

Street Address3

City**

State* (US Only)

Province

Zip/Postal Code**

Country*

Phone Number*

Fax Number

E-Mail Address*

Confirm E-Mail Address*

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FIRM APPLICATION

Contact Information

All applicants complete this section.

Enter the information to identify the contact person to whom all enforcement and compliance communications and inquiries from the CFTC are to be directed. You can enter up to three (3) enforcement/compliance contacts in this document. If you have more than three (3), please add them in another document such as Microsoft Word and attach it to this document.

Enforcement/Compliance Contact

First Name*

Last Name*

Title

Street Address1*

Street Address2

Street Address3

City**

State* (US Only)

Province

Zip/Postal Code**

Country*

Phone Number*

Fax Number

E-Mail Address*

Confirm E-Mail Address*

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FIRM APPLICATION

Contact Information

All applicants complete this section.

Enter the information to identify the contact person to whom all enforcement and compliance communications and inquiries from the CFTC are to be directed. You can enter up to three (3) enforcement/compliance contacts in this document. If you have more than three (3), please add them in another document such as Microsoft Word and attach it to this document.

Enforcement/Compliance Contact

First Name*

Last Name*

Title

Street Address1*

Street Address2

Street Address3

City**

State* (US Only)

Province

Zip/Postal Code**

Country*

Phone Number*

Fax Number

E-Mail Address*

Confirm E-Mail Address*

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