

TEMPLATE: DO NOT SEND TO NFA

NATIONAL FUTURES ASSOCIATION

INDIVIDUAL APPLICATION

Name*

NFA ID#*

Registration Categories and Sponsor Information

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

Check category(ies) and enter sponsor information.

Registration Categories*

- ☐ Associated Person
☐ Branch Office Manager
☐ [Principal](#)

Sponsor Information

Sponsor*

Branch ID*

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

Registration Categories*

- ☐ Floor Broker
☐ Floor Trader
☐ Check here if you are requesting a change from floor trader to floor broker or floor broker to floor trader.

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

Principal Information

Enter information.

Title*

[10% or more interest*](#) ☐ yes ☐ no

*Required to file application

TEMPLATE: DO NOT SEND TO NFA

NATIONAL FUTURES ASSOCIATION

INDIVIDUAL APPLICATION

Personal Information

Enter information.

Name	
First and Middle*	
Last and Suffix*	
Residential Address	
P.O. Box address is not acceptable.	
Street Address1*	
Street Address2	
Street Address3	
City**	
State* (US Only)	
Province	
Zip/Postal Code**	
Country*	
Birth Information	
Date of Birth*	
City	
State* (US Only)	
Province	
Country*	
Social Security #	
E-mail Address	
CRD/IARD ID***	

*Required to file application

**Required to file application for United States address

***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 NYSE/NASD rules.

INDIVIDUAL APPLICATION

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	

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.

- | | | |
|------|--------------------------|-----------------------------------|
| ACC | ☐ | Amex Commodities Corporation |
| CBOT | ☐ | Chicago Board of Trade |
| CEI | ☐ | Commodity Exchange Inc. |
| CFE | ☐ | CBOE Futures Exchange LLC |
| CME | ☐ | Chicago Mercantile Exchange |
| CX | ☐ | Cantor Financial Futures Exchange |
| KCBT | ☐ | Board of Trade of Kansas City |
| MGE | ☐ | Minneapolis Grain Exchange |
| NYBT | ☐ | New York Board of Trade |
| NYME | ☐ | New York Mercantile Exchange |
| PBOT | ☐ | Philadelphia Board of Trade |

TEMPLATE: DO NOT SEND TO NFA
NATIONAL FUTURES ASSOCIATION

INDIVIDUAL APPLICATION

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

Business Mailing Address

Enter information.

Business Mailing Address	
Street Address1*	
Street Address2	
Street Address3	
City**	
State* (US Only)	
Province	
Zip/Postal Code**	
Country*	
E-mail Address	

*Required to file application

**Required to file application for United States address

TEMPLATE: DO NOT SEND TO NFA

NATIONAL FUTURES ASSOCIATION

INDIVIDUAL 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. 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

- continued on next page -

INDIVIDUAL 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.

- 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

INDIVIDUAL APPLICATION

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.

INDIVIDUAL 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, 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.

INDIVIDUAL 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, 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.

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.

- 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

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TEMPLATE: DO NOT SEND TO NFA

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

*Required to file application

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; NASD 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.

INDIVIDUAL APPLICATION

Matter Information - Regulatory Disclosures (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, 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.

INDIVIDUAL APPLICATION

Matter Information - Regulatory Disclosures (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, 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.

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

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.

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.

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.

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, NASDR 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**

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.

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.

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.

TEMPLATE: DO NOT SEND TO NFA 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*:	Name*:	
To:	Location:	
	(city, state or country)	
	Position Held and Reason for Leaving:	

Month/Year	Employment/School	
From*:	Name*:	
To:	Location:	
	(city, state or country)	
	Position Held and Reason for Leaving:	

Month/Year	Employment/School	
From*:	Name*:	
To:	Location:	
	(city, state or country)	
	Position Held and Reason for Leaving:	

*Required to file application

TEMPLATE: DO NOT SEND TO NFA

NATIONAL FUTURES ASSOCIATION

INDIVIDUAL APPLICATION

Employment and Education History (additional spaces, if needed)

Month/Year	Employment/School
From*:	Name*:
To:	Location:
	(city, state or country)
	Position Held and Reason for Leaving:

Month/Year	Employment/School
From*:	Name*:
To:	Location:
	(city, state or country)
	Position Held and Reason for Leaving:

Month/Year	Employment/School
From*:	Name*:
To:	Location:
	(city, state or country)
	Position Held and Reason for Leaving:

Month/Year	Employment/School
From*:	Name*:
To:	Location:
	(city, state or country)
	Position Held and Reason for Leaving:

*Required to file application

TEMPLATE: DO NOT SEND TO NFA

NATIONAL FUTURES ASSOCIATION

INDIVIDUAL APPLICATION

Employment and Education History (additional spaces, if needed)

Month/Year	Employment/School
From*:	Name*:
To:	Location: (city, state or country)
	Position Held and Reason for Leaving:

Month/Year	Employment/School
From*:	Name*:
To:	Location: (city, state or country)
	Position Held and Reason for Leaving:

Month/Year	Employment/School
From*:	Name*:
To:	Location: (city, state or country)
	Position Held and Reason for Leaving:

*Required to file application

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*:	
To:	

Month/Year	Address
From*:	
To:	

Month/Year	Address
From*:	
To:	

Month/Year	Address
From*:	
To:	

Month/Year	Address
From*:	
To:	

TEMPLATE: DO NOT SEND TO NFA

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 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 NASD/NYSE 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 you must fill in the following information, or if you are a registered General Securities Representative of the sponsor and limit your futures business to any of the following activities, check all that apply:

- ☐ You limit futures activities to 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 futures activities to referring clients to an AP or to supervising others who make such referrals.
- ☐ You have been registered or licensed with a foreign regulatory authority located in Canada or the United Kingdom within the past two years.

*Required to file application

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.

- ☐ You have been registered or licensed with a foreign regulatory authority located in Canada or the United Kingdom within the past two years.
- ☐ 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.

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 NASD within the past 90 days.