



SUBMIT ALL REQUIRED INFORMATION TO:

TONI VITALE CHAN, Vice President, Business Development

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Washington, DC 20006-1823

- FIA EUROPEAN PRINCIPAL TRADERS ASSOCIATION FIA PRINCIPAL TRADERS GROUP
NUMBER OF EMPLOYEES GLOBALLY Over 150 50-150 Less than 50

ORGANIZATION INFORMATION

Organization Name: _____

Legal Entity Name (if different): _____

Address: _____

Phone: _____ Website: _____

Please list other related companies in the financial services industry: (including broker-dealers, investment firms, registered investment advisors, swap dealers): _____

Describe the nature of your business and your organization's relationship to the derivatives industry: _____

ORGANIZATION CONTACTS

Primary Member Contact Name (FIA main contact): _____

Organization: _____ Title: _____

Address: _____

Phone: _____ Email: _____

Billing Contact Name: _____

Organization: _____ Title: _____

Address: _____

Phone: _____ Email: _____

KEY LEADERSHIP (Principals, Partners, Owners, Presidents, CEOs, Board Chairmen)

Name #1: _____

Organization: _____ Title: _____

Address: _____

Phone: _____ Email: _____

Name #2: _____

Organization: _____ Title: _____

Address: _____

Phone: _____ Email: _____



BACKGROUND INFORMATION

Is your firm registered in the Americas / Asia / EU with any governmental agency or self-regulatory organization?

YES NO

If YES, please provide which agency and your registration category:

Agency	Registration Category	Agency	Registration Category

In the last 5 years, has your firm or any partner, officer or director thereof been: (please check the box if YES)

NOTE: IF YOU CHECK ANY OF THE BOXES BELOW, PLEASE ATTACH A DETAILED EXPLANATION TO THIS APPLICATION.

- The subject of any criminal proceeding, including current or pending charges (other than traffic violations)?
- Denied registration or admission by any exchange, clearinghouse, SRO or national regulator?
- Disciplined, reprimanded, censured, fined, suspended or expelled from membership by any exchange, clearinghouse, SRO or national regulator?
- The subject of any major disciplinary proceeding, including current charges by any exchange, clearinghouse, SRO or national regulator?

Is your firm a member of any exchange or other trading venue or clearinghouse? (If YES, please list below)

REFERENCES

Please provide a list of organizations you do business with in the listed derivatives industry:

APPLICANT INFORMATION

Name of person completing the application: _____

Title: _____ Company: _____

Phone: _____ Email: _____

Signature: _____ Date: _____

FIA Bylaws provide that "[m]embers of the Association are to be Industry Participants in good standing and of sound business reputation. In reviewing an application the FIA Board may, in its sole discretion, decline an applicant if, in its judgment, the applicant or its principals are found to lack necessary business or Industry accreditation, have been the subject of disciplinary or judicial proceedings... or otherwise lack a good business reputation."

FOR FIA USE ONLY

- Y/N Recommendation form required Recommendation form completed
- Organization description and supplementary information attached