



SUBMIT ALL REQUIRED INFORMATION TO:

joinfia@fia.org

FIA EUROPEAN PRINCIPAL TRADERS ASSOCIATION  FIA PRINCIPAL TRADERS GROUP

NUMBER OF EMPLOYEES GLOBALLY  Over 500  150-500  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