



SUBMIT ALL REQUIRED INFORMATION TO:

joinfia@fia.org

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 (will receive proxies for voting): _____

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: _____

SPONSOR INFORMATION

Name: _____ Company/Affiliation: _____

Phone: _____ Email: _____



BACKGROUND INFORMATION

Has your firm or any partner, officer or director thereof ever: (please check the box if YES)

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

- Been refused admission to membership in any exchange, trading venue or other business organization?
Been disciplined, reprimanded, censured, fined, suspended or expelled from membership by a regulator, any exchange, trading venue or other business organization or association?
Been the subject of any disciplinary proceeding, including current charges, by a national or regional governmental or related agency?
Been the subject of any criminal proceeding, including current charges (other than traffic violations)?
Failed in business, made a compromise with creditors or been the subject of a proceeding under applicable bankruptcy law?
Been refused a bond by a surety company?

Are there any unsatisfied judgments outstanding against you, your firm or any partner, officer or director thereof?

(If YES, please attach an explanation to this application)

- YES NO

Does your firm currently hold customer funds?

- YES NO

Is your firm a member of the US NFA registered as a futures commission merchant?

- YES NO

Is your firm registered with any other regulatory or self-regulatory agencies? (If YES, please list below)

- YES NO

Four horizontal lines for listing regulatory agencies.

Do you have any pending applications with any regulatory or self-regulatory agencies?

(If YES, please provide a copy of your application)

- YES NO

How long has your firm been authorized to provide client derivatives clearing services? _____

Please list all exchange and clearing house memberships held by your firm:

Three horizontal lines for listing memberships.

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."