



BUSINESS PROFILE

| General Business Information | | | |
|-----------------------------------------------------------------------------------------------------------------------|------------------|----------------------------------------------------------------------------------------------------|--|
| Firm Name: | | Telephone Number: | |
| Address: | | Website Address: | |
| | | FAX Number: | |
| Contact Name: | | | |
| Contact Telephone Number: | | Contact Email Address: | |
| What is the firm's country of origin? | | What is the firm's State of origin? | |
| What year did the firm originate? | | How is the firm organized? i.e. Inc, LLC, LP et al | |
| How many offices does the firm have? | | How many traders does the firm have? | |
| Regulatory Registration Information (if applicable) | | | |
| Is the firm a registered broker-dealer? Yes No | | Who is the firm's DEA? | |
| What is the firm's CRD number? | | What is the firm's MPID? | |
| What is the firm's Net Capital? | | What is the firm's trading deposit? | |
| Who is the firm's current clearing or brokerage firm? | | | |
| What is the expiration date of the firm's clearing contract? | | | |
| What back-office system does the firm currently use? | | | |
| Is the firm a registered investment advisor? Yes No | | | |
| Executive Information | | | |
| Owners/Executives/Partners/Managing Members/Principals | | | |
| Name | Title | CRD# (If applicable) | |
| | | 6000899 | |
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| Business Mix | | | |
| Business | Orders per Month | Shares/Contracts per Month | |
| NASDAQ Equities: | | | |
| NYSE Arca Equities: | | | |
| BATS Equities: | | | |
| Other Equities: | | | |
| Other Equities: | | | |
| Options: | | | |
| Other Business: | | | |
| Business Characteristics | | | |
| Does the firm carry positions overnight? Yes No | | If yes, Long Side \$ Short Side \$ | |
| Does the firm have, or has it had any regulatory problems? Yes No | | (if yes, please attach a detailed explanation) | |
| Does the firm trade in "hard to borrow" securities? Yes No | | Does the firm trade in "bulletin board" securities? Yes No | |
| Does the firm trade Inter-Market Sweep Orders (ISO)? Yes No | | | |
| How much capital is the firm allowed to tie up intra-day or what is the firm's current leverage amount (i.e. 4 to 1)? | | | |

| References | | |
|--------------------------------------------------------------------------------------|---------|------------------|
| Name | Company | Telephone Number |
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| Business Description (Please briefly describe in general the firm's business) | | |
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