



## 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? <span style="float: right;">Yes      No</span>		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? <span style="float: right;">Yes      No</span>			
Executive Information			
Owners/Executives/Partners/Managing Members/Principals			
<b>Name</b>	<b>Title</b>	<b>CRD# (If applicable)</b>	
Business Mix			
<b>Business</b>	<b>Orders per Month</b>	<b>Shares/Contracts per Month</b>	
NASDAQ Equities:			
NYSE Arca Equities:			
BATS Equities:			
Other Equities:			
Other Equities:			
Options:			
Other Business:			
Business Characteristics			
Does the firm carry positions overnight? <span style="float: right;">Yes      No</span>		If yes, Long Side \$      Short Side \$	
Does the firm have, or has it had any regulatory problems? <span style="float: right;">Yes      No</span>		<i>(if yes, please attach a detailed explanation)</i>	
Does the firm trade in "hard to borrow" securities? <span style="float: right;">Yes      No</span>		Does the firm trade in "bulletin board" securities? <span style="float: right;">Yes      No</span>	
Does the firm trade Inter-Market Sweep Orders (ISO)? <span style="float: right;">Yes      No</span>			
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
<b>Business Description</b> (Please briefly describe in general the firm's business)		