

BROKER-DEALER APPLICATION

Please complete the following application form to apply for registration as a broker-dealer. This form will help us gather necessary information about your company and assess its eligibility for registration.

1. Company Information:

- Company Name:
- Legal Entity Type:
- Incorporation Date:
- Registered Address:
- City:
- State/Province:
- Postal/ZIP Code:
- Country:
- Phone Number:
- Email Address:
- Company Website:

2. FINRA Registrations:

- Are you currently registered with the Financial Industry Regulatory Authority (FINRA)?
 - ☐ Yes
 - ☐ No
- If Yes, please provide your FINRA registration number(s):

3. Key Personnel:

- List the key personnel involved in your broker-dealer operations, including their roles and responsibilities:

4. Blockchain Education:

- Describe the level of education and expertise your team possesses in blockchain technology and its applications in the financial industry:

5. Compliance Policies and Procedures:

- Do you have documented compliance policies and procedures in place?
 - ☐ Yes
 - ☐ No
- If Yes, please provide a summary of your compliance policies and procedures:

6. Business Activities:

- Describe the nature of your broker-dealer business activities and the financial instruments you deal with:

7. Capital and Financial Information:

- Total Capitalization:
- Audited Financial Statements (Attach PDF or Provide Link):
- Capital Adequacy Ratios (if applicable):
- Liquidity Management Procedures:

8. Risk Management:

- Describe your risk management framework and procedures for identifying, assessing, and mitigating risks associated with your broker-dealer operations:

9. Client Protection Measures:

- Describe the measures in place to protect the interests of your clients, including segregation of client assets and insurance coverage:

10. Regulatory Compliance:

- Have you ever been subject to any regulatory investigations, penalties, or legal actions related to your broker-dealer activities?

- ☐ Yes

- ☐ No

- If Yes, please provide details:

11. Additional Information:

- Provide any additional information that you believe is relevant to your broker-dealer application:

12. Declaration:

By submitting this application, I declare that the information provided is accurate and complete to the best of my knowledge.

Signature: _____

Date: _____

Thank you for applying to become a registered broker-dealer. We will review your application and contact you regarding the next steps in the registration process.