



FUTURES

## Partnership Application

PLEASE COMPLETE AND RETURN TO ALPARI EITHER BY  
EMAIL TO [CS@ALPARI-FUTURES.COM](mailto:CS@ALPARI-FUTURES.COM)  
OR FAX TO +1 646.349.3659

### GENERAL INFORMATION

I am applying to be a/an:  Introducing Broker  Trading Advisor  Both

I am applying as a/an:  Individual  Corporation

Individual/Business Name: \_\_\_\_\_ NFA Member ID#: \_\_\_\_\_

Address (No PO Boxes): \_\_\_\_\_ Suite/Apt#: \_\_\_\_\_

City: \_\_\_\_\_ State/Province: \_\_\_\_\_ Zip/Postal Code: \_\_\_\_\_

Mailing Address: \_\_\_\_\_ Suite/Apt#: \_\_\_\_\_

City: \_\_\_\_\_ State/Province: \_\_\_\_\_ Zip/Postal Code: \_\_\_\_\_

Country: \_\_\_\_\_ Daytime Phone: \_\_\_\_\_

Fax #: \_\_\_\_\_ Email: \_\_\_\_\_

Website: \_\_\_\_\_

SSN/Tax ID: \_\_\_\_\_ Date of Birth/Formation: \_\_\_\_\_

### ADDITIONAL CORPORATE INFORMATION *(Corporate Introducers only)*

DBA (Doing Business As): \_\_\_\_\_

State/Country of Formation: \_\_\_\_\_ Years in Business: \_\_\_\_\_

### PRIMARY CONTACT *(Corporate Introducers only)*

Name: \_\_\_\_\_

Home Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

SSN/ Tax ID: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

Phone Number: \_\_\_\_\_ Position with Company: \_\_\_\_\_

Email Address: \_\_\_\_\_

### BANKING INFORMATION

Bank Name: \_\_\_\_\_ Accountholder's Name: \_\_\_\_\_

Bank Address: \_\_\_\_\_

Account Number: \_\_\_\_\_ Swift Code/ABA (Routing Number): \_\_\_\_\_



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**BUSINESS PLAN**

Number of Clients Per Month: \_\_\_\_\_ Average Initial Deposit Per Client: \_\_\_\_\_

Total Number of Accounts: \_\_\_\_\_ Total Customer Segregated Funds: \_\_\_\_\_

Monthly Trading Volume (Sides): CBOT \_\_\_\_\_ CME \_\_\_\_\_ NY \_\_\_\_\_ NON US \_\_\_\_\_

Average Ticket Size: \_\_\_\_\_ Will you be soliciting US business?: \_\_\_\_\_

Please List **All** Countries in Which Your Customers are Located: \_\_\_\_\_

\_\_\_\_\_

Are Any of Your Offices Located in the US?: \_\_\_\_\_

Current Clearing Relationships: \_\_\_\_\_

Past Clearing Relationships: \_\_\_\_\_

What Electronic Order Entry System Do You Use: \_\_\_\_\_

Has the IB Received **Any** Customer Complaints Within the Past 6 Months? \_\_\_\_\_

Date of Last NFA Audit: \_\_\_\_\_ **Please attach a copy of the latest NFA audit report.**

Has the IB or Any of its AP's Ever Been the Subject of Any Disciplinary Action or Proceeding by the CFTC, NFA, or Other Regulatory Body? \_\_\_\_\_ If yes, please describe: \_\_\_\_\_

\_\_\_\_\_

Does the IB or Any of its APs Recommend or Solicit on Behalf of Any Commodity Trading Advisors (CTA's) or Trading Systems? \_\_\_\_\_ **If yes, please provide a list of such CTA's or Trading Systems.**

For Each Account Type Listed, Indicate the Percentage that Account Type Represents of Your Overall Customer Business:

Discount: \_\_\_\_\_ Options: \_\_\_\_\_

Speculative: \_\_\_\_\_ Managed: \_\_\_\_\_

Hedge: \_\_\_\_\_ Discretionary: \_\_\_\_\_

**MARKETING/PROMOTIONAL MATERIALS:**

	Yes	No
Website	<input type="checkbox"/>	<input type="checkbox"/>
Networking Websites	<input type="checkbox"/>	<input type="checkbox"/>
Electronic Media	<input type="checkbox"/>	<input type="checkbox"/>
Radio	<input type="checkbox"/>	<input type="checkbox"/>
Blogs	<input type="checkbox"/>	<input type="checkbox"/>
Forums	<input type="checkbox"/>	<input type="checkbox"/>
Other	<input type="checkbox"/>	<input type="checkbox"/>

If yes, please explain: \_\_\_\_\_

\_\_\_\_\_



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## BUSINESS PROFILE

	Yes	No
Will you offer managed account services? <i>(If Yes, please answer the sections below: "Registration Requirements" and "Trading Advisor Compensation.")</i>	<input type="checkbox"/>	<input type="checkbox"/>
Have you or your business ever held an account with Alpari US?	<input type="checkbox"/>	<input type="checkbox"/>
Have you or your business ever been registered with the CFTC, NFA, SEC, or FINRA?	<input type="checkbox"/>	<input type="checkbox"/>
Do you plan to charge a commission (per lot, round-turn, markups or performance fee)?	<input type="checkbox"/>	<input type="checkbox"/>
Will you be holding any trading seminars, trainings or other educational programs?	<input type="checkbox"/>	<input type="checkbox"/>
Do you provide expert advisors, trading signals or alerts to clients?	<input type="checkbox"/>	<input type="checkbox"/>
Do you have any videos that make any specific trading recommendations or reference the potential to make a profit?	<input type="checkbox"/>	<input type="checkbox"/>
Will you be utilizing any third party introducers, solicitors or referring agents?	<input type="checkbox"/>	<input type="checkbox"/>
Do you currently have any active liens against you?	<input type="checkbox"/>	<input type="checkbox"/>
Have you or your business filed for bankruptcy in the past 10 years or been subject to any civil action which has affected your financial standing?	<input type="checkbox"/>	<input type="checkbox"/>
Have you ever pled guilty to or been convicted or found guilty of any felony in any domestic, foreign or military court?	<input type="checkbox"/>	<input type="checkbox"/>
Have you or your business ever pled guilty to or been convicted or found guilty of any misdemeanor in any domestic, foreign or military court which involves: anti-money laundering, embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property, violations of the Internal Revenue Code of 1986, violations of the United States Criminal Code, or any transaction in or advice concerning futures, options leverage transactions or securities?	<input type="checkbox"/>	<input type="checkbox"/>

Please explain all "Yes" answers in the space provided below:

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## REGISTRATION REQUIREMENTS

	Yes	No
Are you required to be to registered with the CFTC as a Commodity Trading Advisor?	<input type="checkbox"/>	<input type="checkbox"/>
Are you designated as a Forex Firm with the NFA?	<input type="checkbox"/>	<input type="checkbox"/>
<i>If you are <u>NOT</u> registered, please answering the following 4 questions:</i>		
Are you currently managing accounts at any other firm or dealer?	<input type="checkbox"/>	<input type="checkbox"/>
Are you collectively managing more then 15 accounts?	<input type="checkbox"/>	<input type="checkbox"/>
Do you hold your self out to the general public as a money manager?	<input type="checkbox"/>	<input type="checkbox"/>
Do you advertise your services publicly?	<input type="checkbox"/>	<input type="checkbox"/>



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## TRADING ADVISOR COMPENSATION

*Note: All Commodity Trading Advisors must submit the most current version of their Disclosure Document*

Trading Commissions: \_\_\_\_\_ (circle one: pip/dollar) per round turn lot.

Performance/Incentive Fees: \_\_\_\_\_ % to Trading Advisor based on high watermark.

Management/Other Fees: \_\_\_\_\_

## CERTIFICATION

I/WE HEREBY CERTIFY THAT ALL INFORMATION PROVIDED HEREIN IS TRUE AND ACCURATE. I/WE HEREBY FURTHER CERTIFY THAT IF ANY INFORMATION PROVIDED HEREIN CHANGES OR BECOMES UNTRUE, I/WE WILL IMMEDIATELY NOTIFY ALPARI (US), LLC IN WRITING.

## ACKNOWLEDGED BY

\_\_\_\_\_  
PRIMARY AUTHORIZED SIGNER NAME

\_\_\_\_\_  
SECONDARY AUTHORIZED SIGNER NAME

\_\_\_\_\_  
PRIMARY AUTHORIZED SIGNER SIGNATURE

\_\_\_\_\_  
SECONDARY AUTHORIZED SIGNER SIGNATURE

\_\_\_\_\_  
DATE

\_\_\_\_\_  
DATE