

**NEW BUSINESS QUESTIONNAIRE**

A Member of the CWT Group
www.straitsfinancial.com

Firm Name: _____

Date: _____

D/B/A: _____

Contact: _____

Title: _____

Address: _____

Telephone: _____

Fax: _____

E-Mail: _____

Website Address: _____

Current Clearing Firm: _____

1.) Form of Organization:

___ Corporation (Organized in State of _____)

___ Partnership (Organized in State of _____)

___ LLC (Organized in State of _____)

___ Individual

2.) Effective Date of NFA Registration: _____

3.) Principals' Names: _____

4.) Number of branch offices: _____ (List locations & branch manager)

Location

Branch Office Manager

_____	_____
_____	_____
_____	_____

5.) Number of brokers: _____ (List names and NFA ID numbers)

Name

NFA ID Number

_____	_____
_____	_____
_____	_____

6.) Entities the firm does business with (List names, locations, and type of firm)

Name

Location and Type (CPO, CTA, etc.)

_____	_____
_____	_____
_____	_____

7.) Volume:

Average half turn contract volume (last 3 months): _____

Average half turn line item volume (last 3 months): _____

Average order size: _____

Breakdown of volume:

A: Futures: _____ Options: _____

B: Hedge: _____ Speculative: _____

C: Exchange:

CME: _____

Commodities: _____

CBT: _____

Commodities: _____

NYMEX: _____

Commodities: _____

Other: _____

Commodities: _____

8.) Number of Accounts: Total: _____ Active: _____

AP Discretionary: _____

9.) Total Equity (no securities): _____

10.) Securities on deposit: _____

11.) Average equity (last 12 months): _____

12.) Average monthly gross commissions last 12 months: _____

13.) Average Commission rate: Half Turn _____ Round turn _____
Give up _____ Highest charged _____

14.) Amount of debits incurred or written off against IB in the past 12 months:

15.) Has IB or its principals or AP's ever left an unpaid deficit balance, either for themselves or their customers, at any FCM?

If yes give details:

16.) Who makes margin calls to customers and how and when are they made?

17.) If the firm has branch offices, are the orders and communications handled by the main office?

18.) How do you obtain/solicit customers?

19.) Do you have or solicit any non-US customers? If so, please provide locations.

20.) Do you tape record conversations with customers?

21.) Are you affiliated with any NFA registrant or non-US investment firm?

22.) What technology applications are you currently using?

Front end: _____

23.) What technology needs would you like to have?

24.) Other information:

As part of our due diligence process we request that you provide us with a recent equity run. Additionally, please have each AP and principal of the firm sign the attached document to confirm authorization to obtain information about the firm and employees' backgrounds.

Authorization to Obtain Information

I (we) hereby authorize Straits Financial LLC (SFL) to conduct, or cause to be conducted, an investigation into my (our) credit, character, general reputation, employment and Guarantor history and authorize SFL to retain a consumer reporting or other third party agency for that purpose.

I (we) authorize and request any and all of my (our) former employers and any other persons to furnish to SFL or their designees, any information they may have concerning my (our) character, ability, business activities and reputation, financial background and creditworthiness, together with, in the case of former employers and Guarantors, a history of my (our) employment or Guarantee by them and the reasons for termination thereof, and I (we) hereby release each such employer and each such other person from any and all liability of whatsoever nature by reason of furnishing such information to SFL.

I (we) agree and request that an electronic copy of this authorization be accepted in lieu of the original.

Date: _____

Signature

Printed Name and Title

Additional Signature

Printed Name and Title

Firm Name

Firm Address
