

**CFE RESPONSIBLE TRADER AND EXECUTIVE OFFICER
INFORMATION COVER SHEET**

First & Middle	<input type="text"/>		
Last	<input type="text"/>		
Firm Name	<input type="text"/>		
Title	<input type="text"/>		
Social Security #	<input type="text"/>	Date of Birth	<input type="text"/>
Home Address	<input type="text"/>		
City	<input type="text"/>	State	<input type="text"/>
Zip/Postal Code	<input type="text"/>	Country	<input type="text"/>

Pages 12-21 of National Futures Association Form 8-R (attached) must be completed for informational purposes by each Responsible Trader and each executive officer identified in a CFE Organization Trading Privilege Holder application. I recognize that the information included in the responses to the questions in National Futures Association Form 8-R furnished to CFE may be verified by investigation, and hereby declare that they are true, complete and accurate.

I acknowledge and agree that under the Fair Credit Reporting Act CFE may procure or cause to be prepared an investigative consumer report on me, including, without limitation, information as to my character, general reputation, personal characteristics, employment, clearing firm, finances, financial litigation, mode of living, and credit reports, as applicable. The Federal Trade Commission's "Summary of Your Rights under the Fair Credit Reporting Act" is available at: <http://www.ftc.gov/bcp/edu/pubs/consumer/credit/cre35.pdf>.

Signature	<input type="text"/>
Date	<input type="text"/>

NATIONAL FUTURES ASSOCIATION

INDIVIDUAL APPLICATION

Disciplinary Information - Criminal Disclosures

For additional assistance and information on completing this page, refer to the Instructions and Definition of Terms at the beginning of this document.

ANSWER THE FOLLOWING QUESTIONS. YOU MUST ANSWER "YES" TO THE QUESTIONS ON THIS PAGE EVEN IF:

- **ADJUDICATION OF GUILT WAS WITHHELD OR THERE WAS NO CONVICTION; OR**
- **THERE WAS A CONDITIONAL DISCHARGE OR POST-CONVICTION DISMISSAL AFTER SUCCESSFUL COMPLETION OF A SENTENCE; OR**
- **A STATE CERTIFICATE OF RELIEF FROM DISABILITIES OR SIMILAR DOCUMENT WAS ISSUED RELIEVING THE HOLDER OF FORFEITURES, DISABILITIES OR BARS RESULTING FROM A CONVICTION; OR**
- **THE RECORD WAS EXPUNGED OR SEALED; OR**
- **A PARDON WAS GRANTED.**

YOU MAY ANSWER "NO" IF THE CASE WAS DECIDED IN A JUVENILE COURT OR UNDER A YOUTH OFFENDER LAW.

A.* (1) Have you personally
or
(2) has any [entity](#) of which you were a [principal](#) (based on activities that occurred while you were a [principal](#))

ever pled guilty or nolo contendere ("no contest") to or been convicted or found guilty of any [felony](#) in any domestic, foreign or military court?
 Yes No

B.* (1) Have you personally
or
(2) has any [entity](#) of which you were a [principal](#) (based on activities that occurred while you were a [principal](#))

ever pled guilty to or been convicted or found guilty of any [misdemeanor](#) in any domestic, foreign or military court which involves:

- embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or
- violation of [sections 7203, 7204, 7205 or 7207 of the Internal Revenue Code of 1986](#); or
- violation of [sections 152, 1341, 1342, or 1343 or chapters 25, 47, 95 or 96 of the United States Criminal Code](#); or
- any transaction in or advice concerning futures, options, leverage transactions or securities?

 Yes No

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NATIONAL FUTURES ASSOCIATION

INDIVIDUAL APPLICATION

Disciplinary Information - Criminal Disclosures

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C.* (1) Are you personally
OR
(2) has any [entity](#) of which you were a [principal](#) (based on activities that occurred while you were a [principal](#))

a party to any action, or is there a [charge](#) pending, the resolution of which could result in a “Yes” answer to the above questions?
 Yes No

Individuals who are filing their first application for registration in the futures industry do not answer this question.

For any “Yes” answer to the questions above, have you previously provided NFA or the CFTC all supplemental documentation for all matters requiring a “Yes” answer?*

Yes No

Would you like to provide details of any criminal matter?

Yes No

*Required to file application

NATIONAL FUTURES ASSOCIATION

INDIVIDUAL APPLICATION

Matter Information - Criminal Disclosures

For each matter for which you have not provided all supporting documentation, you must provide a detailed explanation of the event or conduct. You can enter up to three (3) matters in this document. If you have more than three (3) matters which you must explain, please do so in another document such as Microsoft Word and attach it to this document.

If you must provide a detailed explanation for a matter, the explanation must be in writing and sent to NFA or entered below. The explanation must include:

Matter Name:

(e.g., 1999 Theft Arrest/Charge; 99-CM-105)

When and where the event occurred, parties involved, circumstances, case number and court jurisdiction, allegations/[charges](#), classification of the [charges](#), plea and sentencing information, and the final disposition.

AND IN ADDITION, YOU MUST PROVIDE THE FOLLOWING:

Copies of court documentation which show:

- the [charges](#);
- the classification of the offense, (i.e., [felony](#) or [misdemeanor](#));
- the plea, sentencing and probation information, as applicable; and
- the final disposition.

If you are unable to obtain the documents for the criminal matter, you must provide a letter from the court verifying the documents' unavailability.

NATIONAL FUTURES ASSOCIATION

INDIVIDUAL APPLICATION

Matter Information - Criminal Disclosures (additional matters, if needed)

Matter Name:
(e.g., 1999 Theft Arrest/Charge; 99-CM-105)

When and where the event occurred, parties involved, circumstances, case number and court jurisdiction, allegations/[charges](#), classification of the [charges](#), plea and sentencing information, and the final disposition.

AND IN ADDITION, YOU MUST PROVIDE THE FOLLOWING:

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- the [charges](#);
- the classification of the offense, (i.e., [felony](#) or [misdemeanor](#));
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INDIVIDUAL APPLICATION

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- the classification of the offense, (i.e., [felony](#) or [misdemeanor](#));
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NATIONAL FUTURES ASSOCIATION

INDIVIDUAL APPLICATION

Disciplinary Information - Regulatory Disclosures

For additional assistance and information on completing this page, refer to the Instructions and Definition of Terms at the beginning of this document.

Answer the following questions.

D.* In any case brought by a domestic or foreign governmental body (other than the CFTC),
(1) have you personally
or
(2) has any [entity](#) of which you were a [principal](#) (based on activities that occurred while you were a [principal](#))

ever been permanently or temporarily [enjoined](#) after a hearing or default or as the result of a settlement, consent decree or other agreement, from engaging in or continuing any activity involving:
• any transaction in or advice concerning futures, options, leverage transactions or securities; or
• embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property?
 Yes No

E.* In any case brought by a domestic or foreign governmental body (other than the CFTC),
(1) have you personally
or
(2) has any [entity](#) of which you were a [principal](#) (based on activities that occurred while you were a [principal](#))

ever been [found](#) after a hearing or default or as the result of a settlement, consent decree or other agreement, to:
• have violated any provision of any [investment-related statute](#) or regulation; or
• have violated any statute, rule, regulation or order which involves embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or
• have willfully aided, abetted, counseled, commanded, induced or procured such violation by any other person?
 Yes No

F.* (1) Have you personally
or
(2) has any [entity](#) of which you were a [principal](#) (based on activities that occurred while you were a [principal](#))

ever been debarred by any agency of the United States from contracting with the United States?
Yes No

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NATIONAL FUTURES ASSOCIATION

INDIVIDUAL APPLICATION

Disciplinary Information - Regulatory Disclosures

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Answer the following questions.

G.* (1) Have you personally
or
(2) has any [entity](#) of which you were a [principal](#) (based on activities that occurred while you were a [principal](#))

ever been the subject of any order issued by or a party to any agreement with a domestic or foreign regulatory authority (other than the CFTC), including but not limited to a licensing authority, or [self-regulatory organization](#) (other than NFA or a domestic futures exchange) that prevented or restricted your ability to engage in any business in the [financial services industry](#)?
 Yes No

H.* Are any of the orders or other agreements described in Question G currently in effect against you?
 Yes No

I.* (1) Are you personally
OR
(2) has any [entity](#) of which you were a [principal](#) (based on activities that occurred while you were a [principal](#))

a party to any action, or is there a [charge](#) pending, the resolution of which could result in a “Yes” answer to the above questions?
 Yes No

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For any “Yes” answer to the questions above, have you previously provided NFA or the CFTC all supplemental documentation for all matters requiring a “Yes” answer?*

Yes No

Would you like to provide details of any regulatory matter?
 Yes No

*Required to file application

NATIONAL FUTURES ASSOCIATION

INDIVIDUAL APPLICATION

Matter Information - Regulatory Disclosures

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If you must provide a detailed explanation for a matter, the explanation must be in writing and sent to NFA or entered below. The explanation must include:

Matter Name:

(e.g., March 1999 SEC case; FINRA Case No. CM10034)

When the event occurred, parties involved, case number, allegations/charges, and the final disposition.

AND IN ADDITION, YOU MUST PROVIDE THE FOLLOWING:

Copies of documentation which show:

- the allegations;
- the final disposition.

If you are unable to obtain the documents you must provide an explanation on a separate sheet stating why documents are not obtainable.

NATIONAL FUTURES ASSOCIATION

INDIVIDUAL APPLICATION

Matter Information - Regulatory Disclosures (additional matters, if needed)

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