

FIA Associate Membership Application

Date: _____ Name of Firm, Association or Individual: _____

Address: _____

Telephone: _____ E-mail: _____

Nature of Business: _____

Relationship of Business to Futures/Derivatives Trading: _____

Names and Addresses of Principal Partners or of the Chairman of the Board and President:

Name: _____ Title: _____

Address: _____

Telephone: _____ E-mail: _____

Name: _____ Title: _____

Address: _____

Telephone: _____ E-mail: _____

Name: _____ Title: _____

Address: _____

Telephone: _____ E-mail: _____

Name of Executive for FIA to use as a main contact: _____

Business Address: _____

Business Phone: _____ Business Fax: _____ E-mail: _____

Residence Address: _____

Residence Phone: _____ Residence Fax: _____

References

Name: _____ Name: _____

Affiliation: _____ Affiliation: _____

Address: _____ Address: _____

Telephone: _____ Telephone: _____

Sponsors (Each sponsor must complete a Member Recommendation form. See next page.)

FIA Director _____ Executive with an FIA FCM member firm _____

Name: _____ Name: _____

Affiliation: _____ Affiliation: _____

Address: _____ Address: _____

Telephone: _____ Telephone: _____

Is your firm registered with any governmental agency or self-regulatory organization? Yes No If so, please list.

Has your firm or any partner, officer or director thereof ever been (if the answer is "Yes" to any of the questions below please attach an explanation):

(a) Refused admission to membership in any exchange or other business organization? Yes No

(b) Disciplined, reprimanded, censured, fined, suspended or expelled from membership by any exchange or other business organization or association? Yes No

(c) The subject of any disciplinary proceeding, including current charges, by any governmental agency? Yes No

(d) The subject of any criminal proceeding, including current charges (other than traffic violations)? Yes No

Please attach information about these actions if taken in the last five years.

Is your firm a member of any exchange? If so, list the name(s) of the exchange(s) below.

Is your organization a member of any other trade associations? If so, please list.

Person completing this application: _____ Date: _____

Signature: _____ Print Name: _____

For assistance with the application process or for a regular member application, please contact Toni Vitale-Chan at tvitale-chan@futuresindustry.org.

FIA Member Recommendation Form

Dear Sponsor:

The Membership Committee and the board of directors of the FIA appreciate your time and effort in recommending for membership the prospective member listed below. A major qualification for membership is a good business reputation and we will depend heavily on your candid remarks.

Prospective Member:

Sponsor's Name:

Title:

Sponsor's Affiliation:

Address:

Telephone:

Fax:

E-mail:

How long have you known the applicant?

A. In what capacity have you known the applicant?

Personal Friend Social Acquaintance Business Acquaintance Business Associate Other (regulator, media, etc.)

B. Does your firm have a current, past or contemplated business relationship with the applicant? Yes No

If Yes, please describe:

Are you familiar with the applicant's business reputation? Yes No

If Yes, how would you describe it?

Do you know of any reasons that would argue against the applicant being admitted for membership? Yes No

If Yes, please describe:

Has the applicant made any financial or business commitments to you or your firm which are contingent upon the approval of their application? Yes No

If Yes, please describe:

Signature of Sponsor

Date:

Please return this form to:

Futures Industry Association

Toni Vitale-Chan

2001 Pennsylvania Ave. NW

Suite 600

Washington, DC 20006-1823

312.636.2919

202.772.3075 fax

tvitale-chan@futuresindustry.org