

IKON GM USA

INTRODUCING BROKER QUESTIONNAIRE

To better assist us in serving the needs of our Introducing Brokers, we request certain information about your business. Please assist us by providing the information requested below. Please circle response to "Yes / No" questions. If certain items do not apply, please mark those items "N/A," sign and date the form. A completed form and any accompanying documents should be sent to the attention of

PLEASE PRINT OR TYPE

1. Firm Name: _____

2. What type of entity is your firm:

| | |
|--|--|
| <input type="checkbox"/> Sole Proprietor | <input type="checkbox"/> Corporation |
| <input type="checkbox"/> General Partnership | <input type="checkbox"/> Limited Partnership |
| <input type="checkbox"/> Limited Liability Company | <input type="checkbox"/> Other |

3. How many offices do you have? _____ Please list city and state for each branch.

4. Please list key employees and areas of responsibility:

5. Is your firm registered with any regulatory authorities? If so, please list and provide any regulatory identification numbers (i.e., SEC, NASD, NFA I.D. No.'s):

6. Number of salesmen associated with the entity? _____

7. Number of accounts: _____. How many of these accounts are (please provide percentages, with each "vs." totaling 100%; so, for example, 90% speculative vs. 10% hedge):

| | | | |
|--|-----|--|--|
| <input type="checkbox"/> Speculative | vs. | <input type="checkbox"/> Hedge | |
| <input type="checkbox"/> Retail | vs. | <input type="checkbox"/> Institutional | |
| <input type="checkbox"/> Self-directed | vs. | <input type="checkbox"/> Managed (e.g., CTA) | |
| <input type="checkbox"/> Proprietary | vs. | <input type="checkbox"/> Customer | |

8. Would any of the accounts be considered either pools or investment funds? Yes / No. If yes, approximately how many? _____

9. Approximately, what is the amount of Customer equity you introduce in actual U.S. Dollars? _____
In notional equity? _____

10. Is the firm actively soliciting new Customers? Yes / No. If yes, does your sales force solicit business in other countries? If so, where?

11. If soliciting, how do you solicit?

- Are scripts, outlines, or any written suggestions utilized for training salesmen or for general solicitations? Yes / No.
- Does the firm utilize lead lists? Yes / No. Are they purchased or provided free of charge? What entities are lead lists obtained from? How does this entity compile leads?

- Do you use promotional material? Yes / No. What types? (Print ads, TV / radio, newsletters, direct mail); other? _____

12. How many Customer complaints have you received in the past two years? _____. What types of complaints were received (what was each Customer alleging)?

13. Has the firm received any Customer complaints that allege excessive trading in discretionary accounts? Yes / No. Any complaints that allege unauthorized trading? Yes / No.

14. Generally describe below and attach hereto documentation regarding any and all disciplinary actions taken by any regulatory agencies.

I hereby swear or affirm that the information provided herein is known to be true or, based on my best information, is believed to be true.

Signature

Date

Printed Name

Title

Firm