

UNITRADER EAD

Introducing Broker Agreement



UNITRADER

INTRODUCING BROKER AGREEMENT

THIS INTRODUCING AGREEMENT (the "Agreement") is entered into as of the ___day of ____, 201__, between **UniTrader EAD** ("UniTrader") and _____ ("Introducer").

WHEREAS, UniTrader is a dealer in Contracts For Difference on Equities, ETF, Futures and Currencies on the aforementioned contracts (collectively, "CFDs");

WHEREAS, Introducer is engaged in the business of soliciting customers for transactions in CFDs and wishes to introduce such customers to UniTrader; and

WHEREAS, Introducer and UniTrader wish to enter into an agreement pursuant to which Introducer will serve as UniTrader's referral source to refer prospective counterparties to UniTrader for the purpose of entering into transactions in CFDs;

NOW, THEREFORE, in consideration of the premises and the covenants and representations contained herein, the parties agree as follows:

1. TRADING TERMS AND DEFINITIONS

The following definitions and terms apply to this Agreement:

- A. "Introduced Counterparty" or "Introduced Account"** shall mean each counterparty or account introduced to UniTrader by Introducer, accepted by UniTrader and with whom UniTrader does not have a current or prior existing CFD relationship.
- B. One "Contract"** is defined as a transaction amount of 1 share/unit.
- C. "Base Currency"** is defined as the currency that is being priced, and the Exchange Rate is the price at which 1 unit of base currency can be bought or sold, and this price is expressed as X units of Quoted Currency.
- D. One "Pip"** is defined as the smallest numerical value of a price (the last digit to the Right of the decimal point). The term "Pips" is synonymous and interchangeable with the terms "Points" and "Ticks".

2. INTRODUCER SERVICES

The following definitions and terms apply to this Agreement:

- A.** Introducer hereby agrees to serve as a referral source for the purpose of introducing and referring prospective counterparties to UniTrader in order for UniTrader to provide investment services to such counterparties. Unless authorized and regulated by his/her applicable authority in compliance with the European Union Directive 2004/39/EC ("MiFID"), Introducer shall not at any time during or after the referral process, (i) provide investment advice, as defined under MiFID, to any counterparty, (ii) provide non-generic advice or personal recommendations, as defined under MiFID, to any counterparty, (iii) assess or evaluate any counterparties suitability for trading in any investment service, or (iv) receive or transmit orders on behalf of any referred counterparty. Introducer hereby agrees to use its best efforts during the term hereof to fulfill the aforementioned purposes.
- B.** UniTrader will have no obligation to accept as counterparty any person referred to it by Introducer.
- C.** In performing the services set forth herein, Introducer will have no authority to bind UniTrader in any way and will make no representations to prospective counterparties or other persons relating to UniTrader or its CFD trading operations that are not expressly authorized by this Agreement or have not been previously approved in writing by UniTrader. Introducer shall not issue, publish or distribute any advertisement, market letter, market research report or other sales literature utilizing or making reference to the name or facilities of UniTrader or any of its affiliates without UniTrader's prior written consent.
- D.** Introducer agrees to maintain all websites and other promotional materials in compliance with industry standard rules (the "Rules"), including but not limited to: no guarantees of profit; no misleading or fraudulent information; no deceptive programs or marketing ploys; no false or exaggerated rates of return; and proper disclaimers and statements regarding UniTrader and its affiliates. Any subsequent review of Introducer's web materials that reveal a failure to comply with the Rules shall be deemed a breach of this Agreement under 10(A) herein, and result in immediate termination.

E. Introducer will carry on its business as an independent contractor and not as an agent or employee of UniTrader. Introducer will not use the name UniTrader in answering its telephone or in any other way represent itself to be associated with UniTrader other than in relationship of an introducing broker to UniTrader which holds the funds of Introducer's customers, and acts as a principal counterparty to Introducer's customers. In contracting for support services, such as rent, telephone, quotation services, utilities and the like, Introducer will not use or refer to the name "Boston Merchant Financial or UniTrader".

3. INTRODUCED COUNTERPARTY, INITIAL SOLICITATION & OPENING OF ACCOUNTS

A. For all introduced accounts, Introducer agrees to provide UniTrader with all pertinent information with respect to each Introduced Counterparty. Without limiting the generality of the foregoing, Introducer agrees to furnish UniTrader for each Introduced Account:

- (i) the name, address, and principal occupation or business of the beneficial owner for whom the Introduced Account is maintained, the signature of such beneficial owner (or of the persons authorized to act on behalf of such beneficial owner), the name and address of any other persons who guarantee the Introduced Account, exercise any trading control or otherwise trading in the Introduced Account, or have any direct or indirect interest in the Introduced Account;
- (ii) a signed copy of all written agreements with respect to the Introduced Account;
- (iii) a copy of all account cards or records relating to the opening and maintenance of the Introduced Account;
- (iv) a signed copy of the customer agreement and such other agreements as may be prescribed by UniTrader with respect to the Introduced Account;
- (v) a signed copy of any guarantee or of any power-of-attorney with respect to the Introduced Account;
- (vi) evidence of the authority of the person or persons authorized to transact business for the Introduced Account and of the genuineness of all certificates and other documents pertaining to the Introduced Account, all in such form as may be prescribed by UniTrader;
- (vii) a signed acknowledgement of receipt of each risk disclosure statement (including the statement provided in the Customer Agreement) or disclosure document required by applicable law or UniTrader;
- (viii) Introducer further agrees that it will not use any document or agreement in connection with the opening or maintenance of an account that has not been supplied or approved by UniTrader.

B. The Introducer is prohibited from taking deposits from Introduced Counterparties on behalf of UniTrader.

C. In case the Introducer refers other Introducing Brokers to UniTrader, herein referred to as (Sub IB), the Introducer shall provide UniTrader with a) Articles of Incorporation, b) a copy of a photo ID of all directors whose signatures appear on the Articles of Incorporation, for all of the Sub IBs.

4. UniTrader'S OBLIGATIONS TO INTRODUCER

A. UniTrader agrees to perform its obligations under this Agreement diligently and in compliance with all applicable laws and regulations.

B. In return for its services, with respect to each Introduced Counterparty, UniTrader agrees to pay to Introducer and/or collect from such Introduced Counterparty and remit to Introducer the fees set forth on Schedules attached hereto (collectively, the "Introducer Fees"). Such Introducer Fees shall be paid with respect to each Introduced Counterparty as specified in Schedules attached hereto within fifteen (15) business days following the last day of the calendar month.

C. For all Introduced Counterparties referred to UniTrader by Introducer and who enroll within any and all promotion, promotional offer, promotional program or any other offering made available by UniTrader, including but not limited to: trading bonuses; deposit bonuses; general contests or new account bonuses, the Parties hereto agree that all Fee Schedules attached hereto, including those set forth in 4(B), shall not be applicable and UniTrader shall not be obligated to compensate Introducer for such referred business.

D. The Introducer Fees set forth in the selected Schedules, where applicable, shall be payable for the duration of UniTrader's relationship with the Introducer. Upon termination of this Agreement, by either party, for any reason, the Fee Schedule set forth in the selected Schedules, if applicable, shall no longer be payable and shall terminate in compliance with Section 10 of this Agreement.

E. UniTrader will deliver promptly to Introducer copies of all account statements with respect to the account of the Introduced.

5. INTRODUCER'S OBLIGATIONS TO UniTrader

- A.** Introducer agrees to perform its obligations under this Agreement diligently and in compliance with all applicable laws, rules and regulations, governing Introducer's activities.
- B.** Introducer shall notify UniTrader in writing, immediately upon receipt or obtaining knowledge of any Introduced Counterparty complaint or pending or threatened action or proceeding by any Introduced Counterparty in respect of any alleged errors, corrections or other matters relating to any Introduced Counterparty transaction or account with UniTrader. UniTrader at its discretion shall have the exclusive right to respond to, adjust, settle or reconcile any such Introduced Counterparty complaint as such complaint pertains to UniTrader.
- C.** Introducer shall deliver to UniTrader; copies of all promotional materials used by introducer to solicit CFD business, this material shall include but is not limited to all emails, all mailings, all websites and links to websites, any scripts used. Introducer is obligated to have all promotional material approved by UniTrader before use.
- D.** Introducer shall notify UniTrader immediately if there are any changes in the introducer's status for registration with the appropriate authorities.
- E.** Introducer shall notify UniTrader immediately if introducer receives any subpoenas, due to any type of fraudulent business practices, including but not limited to; false claims, misleading promotional materials, or any customer complaint.
- F.** Introducer shall notify UniTrader immediately if introducer fails to receive timely payment of fees, as outlined within the selected attached Schedule(s), if applicable, attached hereto, for its services from UniTrader. Introducer agrees that should timely payment not be made by UniTrader, for any and all reasons, including, but not limited to, administrative error or operational oversight, and Introducer fails to notify UniTrader within sixty (60) days following the date of payment as outlined in section 4(B) of this Agreement, Introducer waives any and all rights to such payment and further waives any claims of restitution and/or unjust enrichment.

6. WARRANTIES, REPRESENTATIONS & CONVENANTS

- A.** UniTrader, in order to induce Introducer to enter into and to perform this Agreement, does hereby represent and covenant to Introducer as follows:
 - (i)** UniTrader has the right and power to enter into and perform its duties under this Agreement; has taken all requisite corporate action to authorize the execution, delivery and performance of this Agreement and the transactions contemplated herein; and that this Agreement has been duly authorized, executed and delivered by UniTrader and is binding upon and enforceable against it in accordance with the terms hereof.
 - (ii)** Neither the execution, delivery or performance of this Agreement by, nor the consummation of, any transaction contemplated otherwise, conflict with, result in a breach of, or constitute a default under or violate, as the case may be,
 - (a)** the Operating Agreement of UniTrader,
 - (b)** any foreign, federal, state or local law, statute, ordinance, rule or regulation,
 - (c)** any court or administrative order or process, or
 - (d)** any contract, agreement, arrangement, commitment or plan of UniTrader to which or by which UniTrader may be bound.
- B.** Introducer, in order to induce UniTrader to enter into and to perform this Agreement does hereby represent and covenant to UniTrader as follows:
 - (i)** If Introducer is an entity, it is duly organized, validly existing and in good standing under the laws of its country of organization, and is qualified to do business in such other countries as the nature of its business activities and properties therein may require.
 - (ii)** Introducer shall not employ, on accounts held in their name, or assist any client of UniTrader in any way in employing, whether it be acting in concert with, or acting as an introducer, trader or otherwise for, such client account, any scripts, codes, software or any other form of computer program that will circumvent controls or manipulate the systems of UniTrader in order to delay feeds, obtain off-market pricing, or otherwise provide beneficial market conditions for the applicable account(s). Introducer agrees that UniTrader, in its sole discretion, through its market expertise and industry experience, shall determine whether such activities are taking place and consequently take all actions as authorized herein.
 - (iii)** Introducer has the right and power to enter into and perform its duties under this Agreement; has taken all requisite corporate action to authorize the execution, delivery and performance of this Agreement and the transactions contemplated herein; and that this Agreement has been duly authorized, executed and delivered by Introducer and is binding upon and enforceable against it in accordance with the terms hereof.
 - (iv)** Neither the execution, delivery or performance of this Agreement by nor the consummation of any transaction contemplated otherwise, conflict with, result in a breach of, or constitute a default under or violate, as the case may be,

- (a) the charter documents of Introducer,
- (b) any foreign, federal, or local law, statute, ordinance, rule or regulation,
- (c) any court or administrative order or process, or
- (d) any contract, agreement, arrangement, commitment or plan of Introducer to which or by which Introducer may be bound.

(v) Introducer will not engage in any activity that would require Introducer to be a member of the Federal Deposit Insurance Corporation ("FDIC") or National Futures Association ("NFA") or Financial Industry Regulatory Authority ("FINRA").

- (a) Introducer will not solicit or introduce Canadian, Australian, and/or US citizens or permanent residents, or Canadian, Australian, and/or US entities.
- (b) Introducer will not operate its business or solicit from the US or any territories that fall under the US jurisdiction, rules and regulations.

(vi) Introducer consents to, and agrees to assist UniTrader with, any background check of any employees of Introducer.

(vii) Introducer shall, at UniTrader's request, provide UniTrader with a copy of its quarterly and year-end financial statements and reports of its auditors, if any, as and when such reports are prepared. Introducer further agrees to make its books and records available for reasonable inspection at all times by duly authorized representatives of UniTrader.

(viii) Introducer agrees that, upon request, it will provide UniTrader with any information in Introducer's possession with respect to any customer or any account.

(ix) Introducer agrees that, upon request, UniTrader may inspect any research report or other sales literature used or to be used by Introducer.

(x) Introducer agrees during the term of this Agreement and for two (2) years following the termination hereof, that Introducer will not (i) directly or indirectly solicit for employment or engagement any of UniTrader's employees, consultants or agents or any other person otherwise engaged by UniTrader; (ii) solicit or attempt to solicit for Introducer or any third party, any of UniTrader's clients or counterparties with the intent or purpose of providing services to such client or counterparty similar to the services currently provided, or contemplated to be provided, to such clients or counterparties by UniTrader; or (iii) induce or attempt to induce any employee, consultant or agent of UniTrader to discontinue services to UniTrader.

(xi) Introducer understands and agrees that all spreads offered on the trading platforms of UniTrader are variable and can fluctuate depending on volatility and liquidity within the market.

C. Each party, in order to induce the other party to enter into and to perform this Agreement, does hereby represent and covenant to the other party as follows:

(i) Each party shall keep confidential any information such party may acquire as the result of this Agreement regarding the business and affairs of the other party, and shall make available to third parties only such agreements, documents and papers supplied by the other party as may be authorized by the other party in writing or pursuant to any order, subpoena or other process of a court or regulatory body of competent jurisdiction. Each party shall give the other party prompt notice of the receipt by such party of any such order, subpoena or other process.

7. OWNERSHIP, PROPRIETARY INFORMATION

All copyright, trademark, trade secret and other intellectual property rights belonging to UniTrader shall remain at all times the sole and exclusive property of UniTrader. Introducer shall have no right or interest in any copyright, trademark, trade secret, or other intellectual property of UniTrader. Introducer will not publish, distribute, or otherwise make available to third parties any information derived from UniTrader or relating to any copyright, trademark, trade secret or other intellectual property rights belonging UniTrader without the prior written consent of UniTrader. Introducer will not copy, modify, de-compile, reverse engineer, and make derivative works of any intellectual property of UniTrader.

8. INDEMNIFICATION

A. Introducer agrees to indemnify and hold UniTrader, its directors, officers, shareholders, members, employees, agents, and each person, if any, controlling UniTrader, harmless from any and all claims, demands, proceedings, suits, or actions (whether in law or in equity), and from any loss, damage, liability or expense, including reasonable attorneys' fees and other legal expenses, to which UniTrader, or any of its affiliates may become subject arising out of or relating to any act or omission of Introducer or any person connected, affiliated or associated with Introducer which is or is alleged to be a violation of domestic or foreign statutes, laws or regulations or arising from Introducer's or such person's alleged negligence or willful misconduct, or if Introducer fails to perform its obligations or breaches its representations, warranties, and covenants hereunder. Introducer will indemnify and hold UniTrader harmless from any loss which UniTrader may sustain as a result of errors made by Introducer, its

agents, servants and employees in connection with the services provided to prospective or introduced counterparties hereunder. UniTrader may, in its sole discretion, elect to assume the sole defense, including the settlement or compromise, of any such claim, demand, proceeding, suit, or action instituted against UniTrader and Introducer.

B. Any aforesaid indemnification, hold harmless obligation, guaranty or loss sharing arrangement shall remain in effect without limit of time after the termination of this Agreement from any act or omission which shall have occurred during the period of this Agreement, whether discovered then or at any time subsequent to the termination of this Agreement.

C. Neither party shall be liable for any loss, damage, liability or expense resulting from any delay or default in performing hereunder if such delay or default is caused by conditions beyond its control including, but not limited to Acts of God, Government restrictions (including the denial or cancellation of any export or other necessary license), wars, insurrections and/or any other cause beyond the reasonable control of the party whose performance is affected.

D. Introducer shall promptly notify UniTrader in writing of the assertion of any material claim against Introducer by any Introduced Counterparty, or of the institution against Introducer or any affiliate, director, officer or employee thereof of any suit, action, investigation or proceeding by any Introduced Counterparty or by any regulatory agency, exchange or board of trade, and of every material development in any such claim, suit, action, investigation or proceeding. If Introducer is involved in any such customer complaint, civil suit, reparations, arbitration or regulatory proceeding or reasonably expects to become so involved, Introducer will cooperate with UniTrader by furnishing all documents necessary to conduct an investigation and defend a claim or proceeding, unless it would be clearly prejudicial for Introducer to so cooperate. Without limiting the foregoing, Introducer will permit appropriate persons of UniTrader or its attorneys, insurance representatives or auditors to interview employees of Introducer in the presence of representatives of Introducer.

E. In the event of any material claim against Introducer by any Introduced Counterparty, or of the institution against Introducer or any affiliate, director, officer or employee thereof of any suit, action, investigation or proceeding by any Introduced Counterparty or by any regulatory agency, exchange or board of trade, and of every material development in any such claim, suit, action, investigation or proceeding, UniTrader shall withhold any portion or all of the Introducer's security deposit or any commissions due to the Introducer to offset any settlement or legal fees incurred by UniTrader.

F. UniTrader may at any time and in its sole discretion disclose the arrangement contemplated by this Agreement in any document or in any manner it deems accurate and appropriate.

9. EXPENSES

Each party shall be responsible for its own expenses incident to or arising out of this Agreement and neither party shall be obligated, without its prior written consent, to pay any such expenses of the other party.

10. TERM; TERMINATION

A. UniTrader or Introducer may terminate this Agreement immediately with or without cause, provided the terminating Party provide written notice of such termination delivered via electronic mailing and/or physical mailing to the applicable address provided. Upon dispatch of such written notice of termination the Agreement and any and all rights that do not specifically survive such termination shall terminate, including but not limited to, payments to Introducer due under the terms of this Agreement, will be extinguished.

B. Nothing in this Agreement shall prevent UniTrader from exercising all of its rights under the respective customer agreements for the customers introduced by the Introducer, including without limitation, the right to liquidate or limit customer positions and the right to place customer accounts on a liquidation-only status.

C. Each party's rights of termination hereunder shall be in addition to all other remedies and rights to which it may be entitled under this Agreement.

D. In the event of termination of this Agreement, the terms and conditions of this Agreement shall survive and continue to apply to any and liabilities and obligations of Introducer which occurred prior to termination, were accrued prior to termination, or arose from events occurring prior to termination; including but not limited to, the Introducer's obligation to indemnify, reimburse and cooperate with UniTrader.

11. AMENDMENTS

This Agreement may not be amended or modified except in writing. UniTrader may amend this Agreement if notice of such amendment is served to Introducer, in writing in accordance with Section 12 herein. This Agreement

represents the entire understanding between the parties, and all prior discussions and negotiations are merged in it.

12. NOTICES

All notices and other communications hereunder shall be in writing and shall be deemed to have been duly given if sent via email to the applicable email addresses reported herein by each Party or by physical mailing to the address on file or to such other address as may be furnished by any party to the others in writing.

13. GOVERNANCE; VENUE

This Agreement shall be governed by, and construed in accordance with, the laws of the Republic of Bulgaria without regard to the choice-of-law provisions thereof.

14. JURISDICTION; ARBITRATION

All disputes between the Parties regarding the concluding, execution, the validity and the termination of the Agreements shall be settled through negotiations and friendly agreements. If a common decision is not reached the respective dispute shall be decided by the Arbitration court with the Bulgarian Chamber of Commerce and Industry with three members chosen in respect with the Regulations of this court. The place of the arbitration will be the seat of the arbitration court. This provision is not enforceable when the Client might be classified as a consumer pursuant to the Bulgarian Protection Consumers Act.

15. CONSENT TO SERVICE OF PROCESS

Introducer agrees to authorize UniTrader to act as its Agent for the purposes of receipt of service of process in any legal proceedings initiated against Introducer. Upon receipt of service, UniTrader shall by sending copies thereof by registered or certified mail, notify Introducer of such legal proceedings at the address set forth in this Agreement.

16. TRIAL BY JURY; STATUE OF LIMITATIONS

Introducer acknowledges that it waives a trial by jury in any action arising out of or relating to this Agreement or any transaction in connection herewith. In addition, Introducer agrees to waive any and all other applicable statutes of limitations exceeding one year, including but not limited to, any statutory or common law state or federal statute of limitations.

17. INVALIDITY OR UNENFORCEABILITY

Any provision hereof which is prohibited, invalid or unenforceable shall be ineffective only to the extent of such prohibition, invalidity or unenforceability without invalidating the remaining provisions hereof.

18. INDEPENDENCE

This Agreement shall not be deemed to establish a joint venture or partnership between the parties, and Introducer shall not be deemed to be an agent or employee of UniTrader. Neither Introducer nor any of its officers, employees and agents shall be deemed in any manner or under any circumstance to be an employee or agent of UniTrader, and no such person shall be entitled to any of the rights, protections or benefits provided by UniTrader to its employees, including without limitation, group insurance or any kind of pensions.

19. ASSIGNMENT; BINDING EFFECT

This Agreement shall be binding upon and inure to the benefit of the parties hereto and their respective successors and assigns, provided, however, neither this Agreement nor any rights hereunder shall be assignable by the Introducer without the express written consent of UniTrader.

20. ENGLISH AS PRINCIPLE LANGUAGE

This Agreement may be translated into other languages but, in the event of any inconsistency or ambiguity as to the meaning of any word or phrase in any such translation, the English text shall prevail.

21. SECTION HEADING

The section headings in this Agreement have been inserted as a matter of convenience of reference only.

22. COUNTERPARTS

This Agreement may be signed by the parties in counterparts which together shall constitute one and the same agreement between the parties and shall become effective at such time as each of the parties shall have signed such counterparts and shall have notified the other party thereof.

IN WITNESS WHEREOF, the parties have executed this Agreement and attached Schedule(s) on this day, the ___ of _____, 201__ and incorporate all terms into the accompanying Introducing Agreement.

UNITRADER EAD

Signature:

Print Name:

Title:

Date:

INTRODUCER

Signature:

Print Name:

Title:

Date:

INTRODUCING BROKER INFORMATION AND 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.

BROKER INFORMATION

Firm or Individual Name: _____

Name of Contact: _____

Date of incorporation: ____/____/____ Origin of formation: _____

Street Address: _____ Apt. / Suite: _____

City: _____ State/Province: _____ Postal Code: _____

Phone (Business): _____

Fax (Business): _____

Website: _____ Nature of Business: _____

E-mail: _____

BANK INFORMATION

Beneficiary: _____

Bank Name: _____

Bank Address: _____

City: _____ State/Province: _____ Post Code: _____

Account #: _____ SWIFT/Bank Code: _____

CORPORATE INFORMATION

Date of Incorporation or Formation: _____

Country of Incorporation or Formation: _____

Ownership: Public____ Private____

Total Market Cap or Net Worth: \$ _____

If a Subsidiary, Please Provide Parent Company Name: _____

*** Please provide the most recent offering circular, memoranda or prospectus used to solicit investors.**

Number of General Partners or Managing Members: _____

Number of Limited Partners or Members: _____

Please provide the following information for all general partners or managing members.

GENERAL PARTNERS / MANAGING MEMBERS INFORMATION					
Last Name Middle Initial		First Name	DOB (DD/MM/YYYY) / /	Passport Number	
Address			Home Phone	Citizenship	
Address 2			Mobile Phone	Country	
City Postal Code		State	Fax	City	
				State of Birth	
				Gender	Marital Status
Country	Province		Email		
BENEFICIAL OWNER(S) INFORMATION					
Are the General Partners/Managing Members listed within this Application/Agreement the ultimate Beneficial Owners of the entity establishing this relationship? Yes ____ No ____					
If No, please provide the information below for ALL of the ultimate Beneficial Owner(s) of the entity establishing this relationship:					
Last Name Middle Initial		First Name	DOB (DD/MM/YYYY) / /	Passport Number	
Address			Home Phone	Citizenship	
Address 2			Mobile Phone	Country	
City Postal Code		State	Fax	City	
				State of Birth	
				Gender	Marital Status
Country	Province		Email		
BENEFICIAL OWNER(S) INFORMATION					

Last Name Middle Initial		First Name	DOB (DD/MM/YYYY) / /	Passport Number	
Address			Telephone	Citizenship	
Address 2			Mobile Phone	Country	
City Postal Code			State	City	
			Fax	State of Birth	
				Gender	Marital Status
Country	Province		Email		

* Should you require additional space to list ALL Beneficial Owners, please print additional copies of this page to complete.

BROKER DETAILS

1. What type of entity is your firm: Individual Corporation Other

2. How many offices do you have? Please list each branch.

3. Please list key employees and areas of responsibility:

4. Number of salesmen associated with the entity?

5. 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	
<input type="checkbox"/> Proprietary	vs.	<input type="checkbox"/> Customer	

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

7. Approximately, what is the amount of customer equity you introduce in actual U.S. Dollars? . In notional equity?

8. Is the firm actively soliciting new customers? Yes / No. If yes, does your sales force solicit

business in other countries? If so, where?

9. If soliciting, how do you solicit?

- 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?

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

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

12. 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:
Print Name:	
Title:	
Firm:	

A completed form and any accompanying documents should be emailed to operations@bmfne.eu or faxed to [+359 2 401 2639](tel:+35924012639).