



FIRM INFORMATION

DATE: _____

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|---|--|---------------|---------------|-------|
| Firm Name: | Type of Business: | | | |
| Address: | | | | |
| City | State | Zip Code | | |
| Primary Contact: | Telephone Number: | | | |
| Email Address: | Fax Number: | | | |
| Website: | Firm Tax I.D.: | | | |
| CEO: | President: | | | |
| CFO: | CCO: | | | |
| Years in Business: | Amount of Current Fidelity Bond Coverage \$: | | | |
| Number of Financial Consultants / Brokers / Reps: | Number of Branches: | | | |
| Firm Capital \$: | Net Capital \$: | | | |
| Annual Revenue \$: | Gross Commissions Annualized \$: | | | |
| Current Clearing Firm: | Clearing Deposit \$: | | | |
| Type of Business by Percentage %: | Retail | Institutional | Money Manager | Other |

ACCOUNT INFORMATION

| | |
|--------------------------------------|--|
| Total Number of Accounts: | Total Number of Active Accounts: |
| Number of Foreign Accounts: | Jurisdictions: |
| Number of Retirement Accounts: | Retirement Account Custodian: |
| Number of Margin Accounts: | Number of Institutional (DVP/RVP)Accounts: |
| Number of Fee-Based Accounts: | Total Assets Under Management in Fee-Based Programs: |
| Total Customer Margin Debt Balances: | Average Margin Interest Rate Charged to Customer: |
| Total Customer Credit Balances: | Credit Rate Paid to Customer: |
| Total Customer Money Fund Balances: | Name of Money Fund: |
| Total FDIC Customer Balances: | Total Firm/Inventory Margin Debit Balances: |

BUSINESS CHARACTERISTICS

| | <u>Listed Equities</u> | <u>OTC Equities</u> | <u>Options</u> | <u>Corp Bonds</u> | <u>Muni's</u> | <u>Govt's</u> | <u>Mutual Funds</u> | <u>Euroclear</u> | <u>Local Foreign Mkt</u> | <u>Other (Specify)</u> |
|----------------------------|------------------------|---------------------|----------------|-------------------|---------------|---------------|---------------------|------------------|--------------------------|------------------------|
| AGENCY TRANSACTIONS | | | | | | | | | | |
| # of Trades / Month: | | | | | | | | | | |
| Avg. Shares / Trade: | | | | | | | | | | |
| Avg. Price / Shares: | | | | | | | | | | |
| % Retail: | | | | | | | | | | |
| % Institutional: | | | | | | | | | | |
| % Executed Through Firm: | | | | | | | | | | |
| % Executed Away: | | | | | | | | | | |
| Avg. Commission: | | | | | | | | | | |
| Clearing Charge: | | | | | | | | | | |



| | <u>Listed Equities</u> | <u>OTC Equities</u> | <u>Options</u> | <u>Corp Bonds</u> | <u>Muni's</u> | <u>Govt's</u> | <u>Mutual Funds</u> | <u>Euroclear</u> | <u>Local Foreign Mkt</u> | <u>Other (Specify)</u> |
|-------------------------------|------------------------|---------------------|----------------|-------------------|---------------|---------------|---------------------|------------------|--------------------------|------------------------|
| PRINCIPAL TRANSACTIONS | | | | | | | | | | |
| # of Trades / Month: | | | | | | | | | | |
| Avg. Shares / Trade: | | | | | | | | | | |
| Gross Revenues: | | | | | | | | | | |
| Clearing Charge: | | | | | | | | | | |
| MARKET MAKING | | | | | | | | | | |
| # of Trades / Month: | | | | | | | | | | |
| Avg. Shares / Trade: | | | | | | | | | | |
| Gross Revenues: | | | | | | | | | | |
| Clearing Charge: | | | | | | | | | | |

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|--|---|
| Total Number of Options Trades per month: | |
| Does your firm make markets Y/N? (if yes, please attach list of stocks) | |
| Total Number of Issues: | Total Number of NASDAQ Issues: |
| Total Number of Issues Priced Below \$2.00: | Other: (please describe) |
| What are your firms' current daily ACT Limits? | |
| What are your firms' current MAR Limits or Trade Limits imposed by current Clearing Firm? | |
| Buys: | Sells: Blockbuster: Sizeable: |
| Do you execute trades away from your clearing firm Y/N? | Equity: (%) Fixed Income: (%) |
| What systems are used for executions done away? (please describe) | |
| Do you transact non-US Dollar transactions Y/N? (please describe) | |
| Does your firm maintain concentrated accounts Y/N? | |
| Total concentrated accounts on margin: | |
| Total debit balances carried in these concentrated accounts: | |
| Number of concentrated accounts maintaining a debit balance exceeding \$50,000: | |
| Do you hold safe-keeping positions (physical certificates) for customers, if so, how many? | |
| What is the size of individual debits in your ten largest margin accounts? | |
| Does your firm participate in Limited Partnerships Y/N? | |
| Public %: | Private %: Held at your clearing firm Y/N? |
| Does your firm participate in New Issues Y/N? | |
| Public %: | Private %: Held at your clearing firm Y/N? |
| Manage Underwritings Y/N? | |
| Public %: | Private %: Held at your clearing firm Y/N? |
| Best Efforts Y/N? | What type? (listed, non-listed, blank check or blind pool, SPAC's, PIPE's, other) |