



Introducing Broker Application

Please complete and send via email to support@vertifx.com

GENERAL INFORMATION

Individual

Corporation

Individual/Business Name: _____ NFA Member ID#: _____
Address: _____ Suite/Apt#: _____
City: _____ State/Province: _____ Zip/Postal Code: _____
Country: _____ Website: _____
Daytime Phone #: _____ Fax #: _____
Email: _____ SSN/Tax ID: _____ Date of Birth/Formation: _____

ADDITIONAL CORPORATE INFORMATION *(Corporate Introducers Only)*

DBA (Doing Business As): _____
State/Country of Formation: _____ Years in Business: _____

PRIMARY CONTACT *(Corporate Introducers Only)*

Name: _____ SSN/ Tax ID: _____
Address: _____
City: _____ State: _____ Zip Code: _____
Date of Birth: _____ Phone Number: _____
Email Address: _____ Position with Company: _____

BANKING INFORMATION

Bank Name: _____ Accountholder's Name: _____
Bank Address: _____
Account Number: _____ Swift Code/ABA (Routing Number): _____

BUSINESS PLAN

Number of clients per month: _____

Average initial deposit per client: _____

Monthly trading volume for all accounts: _____

Will you be soliciting US business?: _____

MARKETING/PROMOTIONAL MATERIALS

	Yes	No
Website	<input type="checkbox"/>	<input type="checkbox"/>
Networking Websites	<input type="checkbox"/>	<input type="checkbox"/>
Electronic Media	<input type="checkbox"/>	<input type="checkbox"/>
Radio	<input type="checkbox"/>	<input type="checkbox"/>
Blogs	<input type="checkbox"/>	<input type="checkbox"/>
Forums	<input type="checkbox"/>	<input type="checkbox"/>
Other	<input type="checkbox"/>	<input type="checkbox"/>

Please explain all "Yes" answers in the space provided below:

BUSINESS PROFILE

	Yes	No
Will you offer managed account services? (If Yes, please answer the sections below: "Registration Requirements" and "Trading Advisor Compensation.")	<input type="checkbox"/>	<input type="checkbox"/>
Have you or your business ever held an account with VertiFX.Com?	<input type="checkbox"/>	<input type="checkbox"/>
Have you or your business ever been registered with the CFTC, NFA, SEC, or FINRA?	<input type="checkbox"/>	<input type="checkbox"/>
Do you plan to charge a commission (per lot, round-turn, markups or performance fee)?	<input type="checkbox"/>	<input type="checkbox"/>
Will you be holding any trading seminars, trainings or other educational programs?	<input type="checkbox"/>	<input type="checkbox"/>
Do you provide expert advisors, trading signals or alerts to clients?	<input type="checkbox"/>	<input type="checkbox"/>
Do you have any videos that make any specific trading recommendations or reference the potential to make a profit?	<input type="checkbox"/>	<input type="checkbox"/>
Will you be utilizing any third party introducers, solicitors or referring agents?	<input type="checkbox"/>	<input type="checkbox"/>

	Yes	No
Do you currently have any active liens against you?	<input type="checkbox"/>	<input type="checkbox"/>
Have you or your business filed for bankruptcy in the past 10 years or been subject to any civil action which has affected your financial standing?	<input type="checkbox"/>	<input type="checkbox"/>
Have you ever pled guilty to or been convicted or found guilty of any felony in any domestic, foreign or military court?	<input type="checkbox"/>	<input type="checkbox"/>
Have you or your business ever pled guilty to or been convicted or found guilty of any misdemeanor in any domestic, foreign or military court which involves: anti-money laundering, embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property, violations of the Internal Revenue Code of 1986, violations of the United States Criminal Code, or any transaction in or advice concerning futures, options leverage transactions or securities?	<input type="checkbox"/>	<input type="checkbox"/>

Please explain all "Yes" answers in the space provided below:

REGISTRATION REQUIREMENTS

	Yes	No
Are you required to be to registered with the CFTC as a Commodity Trading Advisor?	<input type="checkbox"/>	<input type="checkbox"/>
Are you designated as a Forex Firm with the NFA?	<input type="checkbox"/>	<input type="checkbox"/>
If you are NOT registered, please answering the following 4 questions:	<input type="checkbox"/>	<input type="checkbox"/>
Are you currently managing accounts at any other firm or dealer?	<input type="checkbox"/>	<input type="checkbox"/>
Are you collectively managing more then 15 accounts?	<input type="checkbox"/>	<input type="checkbox"/>
Do you hold your self out to the general public as a money manager?	<input type="checkbox"/>	<input type="checkbox"/>
Do you advertise your services publicly?	<input type="checkbox"/>	<input type="checkbox"/>

TRADING ADVISOR COMPENSATION

(Note: All Commodity Trading Advisors must submit the most current version of their CTA Disclosure Document.)

Trading Commissions: _____ (circle one: pip/dollar) per round turn lot.
 Performance/Incentive Fees: _____ % to Trading Advisor based on high watermark.
 Management/Other Fees: _____

CERTIFICATION

I HEREBY CERTIFY THAT ALL INFORMATION PROVIDED HEREIN IS TRUE AND ACCURATE. I HEREBY FURTHER CERTIFY THAT IF ANY INFORMATION PROVIDED HEREIN CHANGES OR BECOMES UNTRUE, I WILL IMMEDIATELY NOTIFY VERTIFX.COM, LLC IN WRITING.

Signature

Date

Name

Title