

INTRODUCING BROKER APPLICATION 代理商申请表

We consider our IB program in terms of a long term beneficial partnership between your firm and ours. In order to better assist you, please provide us the necessary information in this questionnaire. Please fill out this form in its entirety by **typing or printing clearly** and send the completed form to sender by email.

我们希望和客户介绍商之间建立长期互惠的合作关系。为了更好地为您服务，我们需要关于您和贵公司的一些资料。请用正楷填写本表后回复邮件发送人。

Section 1: Contact Information (联系信息)	
Name of IB 姓名	
Address (including Zip Code) 现住址 (包括邮编)	
Mobile 手机	
Email 电子邮箱	
Wechat 微信	QQ/Skype
Date of Birth 出生日期	Gender 性别
SSN/ID 身份证号	Citizenship 国籍

Section 2: Clients Information (客户情况)	
Number of existing accounts: 您目前客户数目:	
Approximately, what is the amount of customer equity you introduce in actual US Dollars? 客户的净值大约是多少美元?	
Approximately, what is the average monthly volume of your clients? 客户平均每月单量大约是多少标准手?	
How many of these accounts are (Please provide percentages, with each "vs." totaling 100%. For example, 90% speculative vs. 10% hedge): 请注明账户性质的百分比, 例如90%投机客户与10%对冲客户:	
() % Speculative (投机) VS. () % Hedged (对冲) () % Retail (散户) VS. () % Institutional (机构投资) () % Self-directed (自主交易) VS. () % Managed (委托管理) () % Proprietary (自有资金) VS. () % Customer (客户资金)	
Would any of the accounts be considered either pools or investment funds? 大约有多少账户是投资资金?	
What geographic region will you mainly be targeting? 您面向的主要客户的所在区域(省份/城市)?	
Are you compensated for any of the services that you provide? If yes, how? 对于您提供的服务, 您是否对客户收取佣金或者其它费用? 如果是, 如何收费?	
Years in business? 您有多少年的相关行业经验?	
Are you currently an IB for another market maker? If yes, please provide the name of the company. 目前您是其他公司的经纪吗? 如果是, 请提供该公司名称。	
What kind of account services would you be providing to your clients? Please briefly describe your business model. (i.e. Online retail trading, advisory service, investment management,...etc.) 您将对您的客户提供何种账户服务? 请扼要描述您的经营模式, 例如: 投资管理, 咨询, 在线交易...等等。	
Do you use promotional materials? If yes, what types? (Printed Ads, TV/radio, newsletters, direct mail, others? If no, please provide your sales pitch. 您是否做广告宣传? 如果有, 请列举您的广告种类(例如报刊杂志, 电视电台, 电邮, 一般邮件...等等)。如没有, 请简单叙述您的销售方案。	
Website URL: 您的宣传网址:	

Phone:

Have you received any customer complaints that allege excessive trading in discretionary accounts? 您是否收到过交易过多的投诉?	
Have you received any complaints that allege unauthorized trading? 您是否收到过未经客户授权私自交易的投诉?	
How many customer complaints have you received in the past two years? What types of complaints were received? Generally describe and attach hereto documentation regarding any and all disciplinary actions taken by any regulatory agencies. 您在过去两年内收到多少客户投诉? 客户投诉的理由是什么?	
Generally describe and attach hereto documentation regarding any and all disciplinary actions taken by any regulatory agencies. 请描述接受过的处罚, 并请附上相关文件。	

Section 3: Business Information (商业信息) **如果以个人名义申请代理, 这一部份请全部留空。	
Name of Company 公司名称	
Address 公司地址	
Telephone 电话	Fax 传真
Type of Entity 公司性质	a) Sole Proprietor (专属) b) Corporation (公司) c) General Partnership (合营) d) Limited Partnership (有限合伙) e) Limited Liability Company (有限) f) Other (其它)
Number of salesmen associated with the entity. 您公司有多少销售人员?	
Please list key employees and their responsibilities. 请列出您公司主要雇员姓名及他们所负责的部门。 a) b) c) d) e)	

Phone:

Please list city and state for each branch.

请列出您公司分支机构的办公地点。

- a)
- b)
- c)

Is your firm registered with any regulatory authorities? If so, please list and provide all regulatory identification numbers.

您的公司是否注册于任何相关监管机构? 如果有, 请填写注册机构及注册号。

- a)
- b)
- c)

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

我证明本表所填信息在我所知范围内是正确的。

Printed Name

签字人姓名

Signature

签名

Name of Firm

公司名称

Title

职位

Date

日期