

**Compliance Supervisors Inc.
Pre On-Site Inspection Questionnaire**

PLEASE COMPLETE THIS QUESTIONNAIRE, SIGN AND DATE THE LAST PAGE, AND FAX IT TO COMPLIANCE SUPERVISORS INC. AT (732) 335-5744. IF YOU HAVE ANY QUESTIONS, YOU MAY CALL JOSEPH MAZZA OR ROBERT DEMURIA AT (732) 335-5740. THANK YOU.

Full Company Name: _____
PLEASE LIST THE LEGAL NAME REGISTERED WITH THE NFA. PLEASE DO NOT REFLECT DBAs.

Company Address: _____
Street City State Zip code
PLEASE LIST THE PHYSICAL LOCATION WHERE BUSINESS TAKES PLACE

Company telephone number: _____ Facsimile: _____

Website _____ E-Mail _____

Type of Company: Sole Proprietor Corporation Limited Liability Corporation/Partnership Partnership

1. Approximate number of accounts in this office? Total: _____ Active: _____ Inactive: _____

Number of accounts opened in past twelve months in this office: _____

Number of accounts closed in past twelve months in this office: _____

2. Approximate **total** customer equity for all sales codes in this office combined: \$ _____

3. Types of customers introduced: Retail Institutional Speculative Hedge
(Please check all that apply)

4. Types of instruments traded: Domestic Futures Domestic Options Foreign Futures Foreign Options
(Please check all that apply)

5. What markets are being traded for customers (e.g., grains, meats, financials, etc.)?

6. What are the firm's/branch office's office code(s) assigned by FCM?

7. Who are the associated persons registered with the firm/branch?

AP Name	Sales Code	NFA I.D. #

8. Who are the principals listed with the firm? If this is a branch office, please list the branch office managers.

Principal(s) Name/Branch Office Manager(s)	NFA I.D. #

9. Who is responsible for supervising sales activities?

10. Who are the shareholders (corporations), partners (partnerships), members (limited liability companies) of the firm and their percentage ownership (Not applicable for branch offices)?

11. Who are the Directors of the firm (Not applicable for branch offices)?

12. Who are the authorized check signers and personnel authorized to affect wire transfers from the firm's/branch office bank and trading accounts?

13. What is the approximate number of round turn orders per month _____?

14. Has the firm/branch office engaged in exchange for physical transactions in the past twelve months?

15. How many customer accounts granted discretionary authority to the firm/branch?

16. How many customer accounts granted discretionary authority to an AP of the firm/branch? (*Please list those APs that hold discretion over customer accounts*)

17. How many accounts have granted discretionary authority to a third party (i.e., POA is held by someone outside the company)? (*Please list those third parties that hold discretion over customer accounts*)

18. How many customer accounts have provided the firm/branch office with a letter of direction to follow a particular trading system(s) selected by the customer? (*Please list the customers, account numbers, and names of systems*).

19. Are block orders being placed? If so, in what instances are block orders being placed?

20. How many proprietary trading accounts are in the name of the firm? (*Please provide account numbers*)

21. Who is responsible for making trading decisions in the proprietary trading accounts listed in question 20 above?
22. Which principals and/or APs have their own personal futures/options on futures trading accounts? (Please provide account numbers)
23. How many error accounts does the firm/branch have? (Please provide account numbers)
24. Does the firm/branch prepare their own promotional material? If "Yes", please list all types.
25. How does the firm/branch obtain new customers?
26. Does the firm/branch purchase customer leads? If "Yes", please indicate from whom the leads are purchased.
27. Has the firm applied for registration, or has the firm's registration been approved, to operate as a broker dealer in order to trade single stock futures?
28. Has the firm/branch, any principal, or AP received any customer complaints in the last year? If so, which customer accounts and APs have been involved in the complaint?
29. Has the firm/branch, any principal, or AP been involved in any litigation in the last year?
30. Does the firm/branch have APs that are located outside of the main/branch office? If so, please list the APs and the location.
31. Does the firm/branch deposit customer checks into a customer segregated bank account authorized by FCM?
32. What is the *approximate* round turn commission rate for: Futures \$_____ Options \$_____
33. Besides commissions, what other forms of revenue are generated by the firm (i.e., portion of interest earned on customer accounts, management/incentive fees, consulting fees, subscription fees, etc.)?
34. Does the firm operate under an alias name(s) (i.e., doing business as name). If so, please list all names.
35. Please fax NFA's most recent audit report to CSI at 732-335-5744

Prepared by: _____ Title: _____
Print Name

Signature: _____ Date: _____