

Compliance Supervisors Inc.
On-Site Inspection Request for Records

**PLEASE HAVE THE FOLLOWING RECORDS READILY AVAILABLE UPON COMPLIANCE SUPERVISORS INC.'S
ARRIVAL IN ORDER TO EXPEDITE THE ON-SITE INSPECTION PROCESS.**

1. FCM and firm procedures manual and completed acknowledgements of receipt of FCM's manual;
2. List of commodity trading advisors, commodity pool operators, introducing brokers and futures commissions merchants currently doing business with your office;
3. Cash disbursements journal, checkbook, and past 6 months of bank statements and cancelled checks;
4. Balance sheet and income statement (not applicable for branch offices);
5. Most recent federal and state tax return for the company (not applicable for branch offices);
6. Most recent NFA Self-Examination Checklist (a 20+ page checklist) and signed attestation;
7. Copy of firm's privacy policy;
8. Copy of firm's anti-money laundering ("AML") policy and agreements executed with FCM pertaining to AML;
9. Evidence of AML training for each person required to receive AML training;
10. NFA annual registration and membership update;
11. Most recent equity run;
12. Margin call report for the past five business days;
13. Customer complaint file;
14. Promotional Material file;
15. If applicable, branch office inspection file and written procedures for supervision of branch offices;
16. Copy of previous NFA audit report, FCM internal inspection report, main office internal inspection report and other regulatory agency audit reports;
17. Copies of customer checks deposited in the last three months **and** bank deposit slips if FCM has established a bank account for your firm to deposit customer funds;
18. Commission reports showing payouts to registered APs for past six months;
19. Commission reports showing income earned from FCM for past six months;
20. List of in-house and third party discretionary customer accounts;
21. List of accounts in which a registered AP or the firm have been given a letter of direction to follow a particular trading system;
22. Account documentation for **all** discretionary accounts opened in the past 12 months;
23. Clearing Agreement (not applicable for branch offices);
24. Guarantee Agreement (not applicable for branch offices);
25. If applicable, letter from FCM authorizing company to accept customer funds (1.57 letter);
26. Filled and Unable order tickets for last 2 months;
27. Customer account documentation for new accounts opened (**hard copy and on-line**) in last 12 months **OR** a listing of new customer accounts opened in the last 12 months (CSI will select a sample of accounts for review);
28. Stock ledger, stock certificates, or other evidence of ownership in firm (not applicable for branch offices);
29. Articles of Incorporation (if corporation); Certificate of Limited Partnership and Partnership Agreement (if partnership); or Articles of Organization and Operating Agreement (if limited liability company) (not applicable for branch offices);
30. State registration renewal demonstrating firm is in good standing with the State (not applicable for branch offices);
31. Board of Directors Meeting Minutes (if corporation); Partner Meeting Minutes (if partnership); or Member Meeting Minutes (if limited liability company) (not applicable for branch offices);
32. Month end carrying broker statements for the most recent month for all *customer* accounts;
33. Month end carrying broker statements for the most recent month for all *proprietary* accounts (i.e., accounts in firm name);
34. Month end carrying broker statements for the most recent month for *principals* and *associated persons* trading their own futures accounts;
35. Error account month end statements for the past 12 months;
36. Written ethics training policy and certificates for every registered AP evidencing completion;
37. Written business continuity/disaster recovery plan; and
38. Internal Do-Not-Call-List and written procedures relating to the Do-Not-Call-List.

Thank you for your cooperation. If you have any questions regarding this request, please feel free to contact Joseph Mazza or Robert DeMuria at (732) 335-5740.