

## APPLICATION TO RECEIVE IFUS MEMBER FIRM PRIVILEGES

The undersigned hereby applies for IFUS Member Firm privileges on ICE Futures U.S., Inc. (the "Exchange").

1. Name of Firm: \_\_\_\_\_
2. Tax ID Number: \_\_\_\_\_
3. Address of principal place of business: \_\_\_\_\_  
\_\_\_\_\_
4. Form of organization (**corporation, partnership, LLC or other**): \_\_\_\_\_
5. The Firm is \_\_\_\_\_ is not \_\_\_\_\_ [check one] registered with the Commodity Futures Trading Commission in the following capacity or capacities: \_\_\_\_\_
6. Nature of the Firm's business: \_\_\_\_\_

**INSTRUCTIONS FOR QUESTIONS 7- 10: If the answer to any part of a question is yes, please provide a complete explanation on an attachment to this application. The term "Affiliated Person" as used below I means an officer, director, owner of 10% or more of the outstanding stock, member or manager (of an LLC), or general partner of the applicant.**

7. Within the past 10 years, has the Applicant or any Affiliated Person been subject to a suspension, expulsion, bar, fine in excess of \$25,000 in the case of an individual and \$150,000 in the case of a firm , denial of membership or registration, temporary or permanent injunction, denial of trading privileges or other significant sanction or disciplinary action through an adverse determination, voluntary settlement or otherwise by:
  - (i) the Securities and Exchange Commission, the Commodity Futures Trading Commission, or any comparable foreign regulatory authority or the securities commission of any state, territory or the District of Columbia  

\_\_\_YES \_\_\_NO
  - (ii) Any commodity or securities exchange, related clearing organization, the National Futures Association or the Financial Industry Regulatory Authority, or comparable foreign self-regulatory organization.  

\_\_\_YES \_\_\_NO
  - (iii) any court , based upon activities relating to commodities, securities, banking or finance.  

\_\_\_YES \_\_\_NO
8. Within the past 10 years, has the applicant or any Affiliated Person been convicted, found guilty of, or pleaded guilty or *nolo contendere* to a felony?  

\_\_\_YES \_\_\_NO
9. Within the past 10 years, has the applicant or any Affiliated Person been convicted, found guilty of, or pleaded guilty or *nolo contendere* to a misdemeanor charging misrepresentation, fraud, deceit, theft, embezzlement, gambling, conversion, money laundering, abuse of fiduciary relationship or other conduct involving the misuse of the funds or property of others?  

\_\_\_YES \_\_\_NO

10. Is there a written complaint (or its equivalent) currently filed or pending against the applicant or any Affiliated Person in any judicial, administrative or self-regulatory proceeding, as the case may be, by the CFTC, the Securities and Exchange Commission, the securities commission or equivalent authority of any state, territory, the District of Columbia or foreign country, or any commodities or securities exchange or association or other self-regulatory organization?

\_\_\_YES \_\_\_NO

11. The undersigned IFUS Member Firm hereby designates the following address as the location where service of Exchange documents may be made upon the Firm:

Name of Firm: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Telephone Number: \_\_\_\_\_

12. The undersigned IFUS Member Firm hereby designates the following officer, employee or partner as Exchange liaison and agrees that the Exchange may contact such officer, employee or partner in order to obtain additional information or documentation in connection with any matter as provided under the Rules of the Exchange.

Name of Liaison: \_\_\_\_\_

Title: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Email Address: \_\_\_\_\_

13. In consideration of being granted IFUS Member Firm privileges on the Exchange and for other good and valuable consideration, the applicant agrees that it will be bound by and will comply with all the provisions of the charter, certificate of incorporation, by-laws, rules, resolutions, interpretations, statements of policy, decisions, directives, orders, requirements and procedures of the Exchange as now in effect, hereafter adopted or hereafter amended.

**(Corporate Seal)**

\_\_\_\_\_  
Name of Firm

By: \_\_\_\_\_  
Signature of Officer

Dated: \_\_\_\_\_

\_\_\_\_\_  
Print Officer's Name and Title