# Member Information for Proposed Business Expansion

### FOREIGN SECURITIES

|  |
| --- |
| Member Firm: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Contact Person: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Address: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Name of Person Completing This Form: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

1. The firm will act as:

 Principal (Will the firm principal trade with customers: Yes: No: )

 Agent

 Both

1. Identify the firm’s intended customer base (check all that apply):

Institutional

Other broker/dealers

Retail

**Information and Documentation to be Submitted**

1. A description (including the countries of origin) of the foreign securities that the firm will buy/sell.
2. A statement identifying the exchanges or markets on which these securities are traded.
3. An explanation of how the firm will be compensated in connection with conducting such activity.
4. A description of how transactions in foreign securities will be cleared (i.e., fully disclosed—through whom, RVP/DVP, self-clearing ), and a copy of an executed (or proposed) clearing or other applicable agreement.
5. If the firm intends to use an affiliate to clear transactions in foreign securities, provide the name of the affiliate, its location, and a description of such affiliate’s relationship to the firm. (Note: A foreign entity that is not a U.S. registered broker/dealer is not permitted to clear transactions on a fully disclosed basis for a U.S. broker/dealer.)
6. An assessment of the anticipated impact that Fails To Receive/Fails to Deliver in foreign securities transactions may have on the firm’s capital.
7. A detailed description of the proposed FINOP’s experience with broker/dealers engaging in foreign securities transactions (and the financial issues that arise in connection with conducting such activities).
8. State whether any foreign affiliates of the firm will have any U.S. contacts. If so, please complete and return the attached Consent to Service of Process forms.