

BROKER DEALER MARKET INC.

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COMPANY PROFILE, PRODUCING BD (PLEASE PRINT OR TYPE)

DATE: _____

NAME OF FIRM: _____ CRD# _____

ADDRESS: _____

CITY: _____ STATE _____ ZIP _____

1. NAME OF OWNER/PRINCIPAL: _____

2. INCORPORATED WHERE: _____ WHEN: _____

3. TYPE OF BD (\$5K, \$25K, \$100K) NET CAPITAL: _____

4. IF SHELL, ARE THERE LIMITATIONS: _____

5. DO YOU MAKE MARKETS? _____

6. WHAT INSTRUMENTS ARE YOU AUTHORIZED TO SELL? _____

7. STATES THAT YOU ARE BLUE SKIED: _____

8. CLEARING ARRANGEMENT: _____

9. HOW MANY BRANCH OFFICES? _____

10. NUMBER OF OWNERS / SHAREHOLDERS? _____

11. NUMBER OF AUTHORIZED SHARES? _____

12. ARE YOU INTERESTED IN SELLING, MERGING, OTHER (EXPLAIN): _____

13. PRODUCT (%) MIX: STOCKS _____ BONDS _____ MF _____

ANN. FIXED _____ VARIABLE _____ OPTIONS _____ LP _____

FEE BASED _____ OPTIONS _____ OTHER _____

14. TOTAL NUMBER OF CLIENT ACCOUNTS: _____

15. TOTAL ASSETS UNDER MANAGEMENT \$ _____

16. CLIENTS AVERAGE DAILY CASH AVAILABLE \$ _____

17. CLIENTS AVERAGE DAILY MARGIN BALANCE \$ _____

18. MANAGED ASSETS (FEE BASED) \$ _____

19. GROSS REVENUES: 2008 _____ 2009 _____ YTD _____

20. TOTAL NET: 2008 _____ 2009 _____ YTD _____

