



## Application for Corporate Membership Hedge Fund Information

1. Hedge Fund's Full Legal Name \_\_\_\_\_

2. Type of organization (check one)

- Corporation organized under the laws of \_\_\_\_\_
  - C Corporation
  - Subchapter S Corporation  
(check one)
- Limited Liability Company organized under the laws of \_\_\_\_\_
- Limited Partnership organized under the laws of \_\_\_\_\_
- General Partnership organized under the laws of \_\_\_\_\_
- Other (please specify) \_\_\_\_\_

3. Date Established \_\_\_\_\_

4. Tax Identification Number \_\_\_\_\_

5. Main Address \_\_\_\_\_  
\_\_\_\_\_

Phone Number \_\_\_\_\_

6. Local Address \_\_\_\_\_  
\_\_\_\_\_

Phone Number \_\_\_\_\_

7. Indicate the names, titles and contact information of individuals authorized to represent the hedge fund and investment manager before the Exchange(s) and its Committees.

Hedge Fund: \_\_\_\_\_

Phone Number \_\_\_\_\_ E-Mail Address \_\_\_\_\_

Investment Manager: \_\_\_\_\_

Phone Number \_\_\_\_\_ E-Mail Address \_\_\_\_\_

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8. Please indicate the following for the hedge fund.

**Investment Manager**

Name \_\_\_\_\_

Type of Organization \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_

Contact Name/Title \_\_\_\_\_

Phone Number \_\_\_\_\_ E-Mail Address \_\_\_\_\_

**Investment Advisor**

Name \_\_\_\_\_

Type of Organization \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_

Contact Name/Title \_\_\_\_\_

Phone Number \_\_\_\_\_ E-Mail Address \_\_\_\_\_

**Administrator**

Name \_\_\_\_\_

Type of Organization \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_

Contact Name/Title \_\_\_\_\_

Phone Number \_\_\_\_\_ E-Mail Address \_\_\_\_\_

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9. Please respond to the following:

Question	Yes	No
A. Has the hedge fund, investment manager or any present officer or partner of either ever been denied registration, or had a registration suspended, revoked, or conditioned by a governmental or regulatory authority?	<input type="checkbox"/>	<input type="checkbox"/>
B. Has the hedge fund, investment manager or any present officer or partner of either ever been denied membership or clearing privileges by any commodity or securities exchange/clearing organization?	<input type="checkbox"/>	<input type="checkbox"/>
C. Has any commodity exchange, securities exchange, clearing organization or other self-regulatory body ever fined, suspended, conditioned, or revoked privileges of the hedge fund, investment manager or any present officer or partner of either?	<input type="checkbox"/>	<input type="checkbox"/>
D. Has the hedge fund, investment manager or any present officer or partner of either ever been convicted, pled guilty, entered a plea of "no contest" or entered into a voluntary settlement as to any violation of any criminal or penal code?	<input type="checkbox"/>	<input type="checkbox"/>
E. Is the hedge fund, investment manager or any present officer or partner of either subject to any investigation or have any charges been brought by any governmental or regulatory authority or exchange/clearing organization for violation of its laws or rules?	<input type="checkbox"/>	<input type="checkbox"/>
F. Does the hedge fund, investment manager or any present officer or partner of either currently have any judgments, liens, attachments, or other encumbrances filed against it?	<input type="checkbox"/>	<input type="checkbox"/>

If your response is "Yes" to any of the above, please describe below and provide supporting documentation.

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**Application for Corporate Membership  
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10. Indicate the hedge fund's public accounting firm, its address, the responsible partner's name(s), title(s) and contact information.

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Phone Number \_\_\_\_\_ E-Mail Address \_\_\_\_\_

11. Is the hedge fund subject to any restrictions which would prohibit it from becoming a corporate member?

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12. Is the hedge fund registered in any capacity with any regulatory agency? If so, indicate the nature and country of the registration(s), your primary regulator(s) and the regulator's Web Site(s).

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13. Is the investment manager registered in any capacity with any regulatory agency? If so, indicate the nature and country of the registration(s), your primary regulator(s) and the regulator's Web Site(s).

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14. List all commodity or security exchanges/clearing organizations, U.S. and non-U.S., at which membership privileges are held or pending by the hedge fund or investment manager. Please indicate the type of membership held (e.g. clearing or non-clearing).

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15. Describe the nature of the hedge fund's member firm trading activity. Please indicate the products you intend to trade, whether the trading will utilize automated trading systems (ATS), be electronic or floor-traded or both, speculative or for hedging purposes, and if you will day trade, carry positions overnight, or a combination.

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16. If the hedge fund is organized as a "master-feeder" structure, list all feeder funds (U.S. and non-U.S.).

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17. Indicate the CME, CBOT, NYMEX and/or COMEX clearing member(s) that will clear the hedge fund's member firm trades and the trading account number(s).

**Clearing Member**

**Account Number**

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18. Indicate the name(s), title(s) and contact information of individuals authorized to act on behalf of the hedge fund regarding this application and to contact for questions concerning the application.

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Phone Number \_\_\_\_\_ E-Mail Address \_\_\_\_\_

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19. Indicate the type(s) of corporate membership being applied for:

- CME Rule 106.H. Trading Member Firm
- CME Rule 106.J. Equity Member Firm
- CBOT Rule 106.S. Family of Funds Trading Member Firm
- CBOT Rule 106.S. Family of Funds Equity Member Firm
- NYMEX Rule 106.J. Member Firm
- COMEX Rule 106.J. Member Firm

Complete the appropriate CME, CBOT, NYMEX and/or COMEX Application for Corporate Membership - Hedge Fund Agreement for Membership.

20. Please include with this application the following:

- Articles of Incorporation, Certificate(s) of Incorporation, Articles of Association, Limited Liability Company Operating Agreement(s), and/or Partnership Agreement(s), as applicable, for the hedge fund and, if applicable, all feeder funds.
- Prospectus/Offering Documents, Investment Management Agreements, Investment Advisor Agreements, and Other Relevant Agreements for the hedge fund and, if applicable, all feeder funds.
- Ownership/Organizational Chart (detailing percentages of ownership and business form) of all entities, including feeder funds/master funds, the investment manager and other management companies.
- The most recent Certified Financial Statement for the hedge fund and, if applicable, all feeder funds. If a Certified Financial Statement is not available, please submit a financial statement indicating the assets, liabilities, and capital of the hedge fund and, if applicable, all feeder funds.
- The appropriate CME, CBOT, NYMEX and/or COMEX Application for Corporate Membership - Hedge Fund Agreement for Membership including the (a) Attestation, Authorization and Agreement for Membership, (b) Investment Manager Representation and Acknowledgement, (c) Proprietary Trading Attestation and (d) Designated Spokesperson and Authorized Signor Acknowledgement.

**Application for Corporate Membership  
Hedge Fund Information**

Completed applications along with the supporting documentation should be submitted to:

CME Group Inc.  
Audit Department  
20 S. Wacker Drive  
Chicago, IL 60606

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