

6. Furnish a description of the function(s) that the Applicant performs or proposes to perform:

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Please indicate which asset class(es) the Applicant intends to serve:

- Interest Rate
- Equity
- Credit
- Foreign Currency
- Commodity (Specify) \_\_\_\_\_
- Other (Specify) \_\_\_\_\_

## **BUSINESS ORGANIZATION**

7. Applicant is a:

- Corporation
- Partnership
- Limited Liability Company
- Other (Specify) \_\_\_\_\_

8. Date of incorporation or formation: \_\_\_\_\_

9. State of incorporation or jurisdiction of organization:

\_\_\_\_\_  
 List all other jurisdictions in which Applicant is qualified to do business  
 (including non-US jurisdictions):

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10. List all other regulatory licenses or registrations of Applicant (or exemptions from any licensing requirement), including with non-US regulators:

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11. Date of fiscal year end: \_\_\_\_\_