



INDIA COMPUTE INTERCHANGE PRIVATE LIMITED DISCIPLINARY INFORMATION

If you answer "yes" to any of the following questions, a typewritten statement must be attached giving complete details, as to dates, parties, circumstances and disposition.

You must also include copies of official court documents, police reports and regulatory notices.

If you do not submit the statement and official documents, the processing of your application will be delayed.

Previous India Compute interchange Private Limited members must answer these questions even if the information was provided on a previous membership application.

(a) Have you or any firm or organization of which you were are a principal of, been refused admission to (including the denial, withdrawal, revocation or termination of an application for membership or registration), expelled, suspended, fined, censured or otherwise disciplined through an adverse determined, voluntary settlement or otherwise in an action, arbitration or proceeding brought by or before any regulatory agency, Interchange, or association?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

(b) Are you or any firm with which you are or were a principal of, currently under investigation by a regulatory agency, Interchange or association as set forth in (a) above for the violation of its rules or otherwise, or have charges been brought against you, or any firm with which you are associated, by such regulatory agency, Interchange, or association for such violation or otherwise?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

(c) Have you ever been disqualified from trading?

Yes	No
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(d) Have you ever been requested to relinquish your trading privileges?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>



(e) Have you ever been subject to a disciplinary action or terminated for cause by an employer?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

(f) Have you been refused admission to (including the denial, withdrawal, revocation or termination of an application for membership or registration), rejected, expelled, suspended, or fined, censured or otherwise disciplined by the Commodity Futures Trading Commission (CFTC), the Securities Interchange Commission (SEC), the Financial Industry Regulatory Authority (FINRA), or the National Futures Association (NFA)?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

(g) Have you been charged in a criminal action or indicted for a violation of any federal or state law?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

(h) Have you ever been convicted of any misdemeanor or felony?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

(i) Have you ever had any significant financial/credit difficulties (including, but not limited to, filing for personal or professional bankruptcy, had involuntary bankruptcy proceedings filed against you, collection accounts, civil judgments or tax liens)?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

_____ <Name of Officer>

_____ <Title>

_____ <Firm>

_____ <Date>