

tpSEF Inc. Membership Application Checklist

Thank you for your interest in participation in the tpSEF Inc. The application will be considered complete once tpSEF has received all the items listed below. In order to expedite the processing of your application, please be sure that you have done the following:

- Executed and returned Participant Application and the Terms of Use.
- Answered EVERY question on the application. You may answer "N/A" (not applicable) where appropriate.
- Provided an explanation for any questions answered "yes" on the application and any supporting documentation.
- Articles of Incorporation, Certificate of Incorporation, Articles of Association, Limited Liability Company Operating Agreement, and/or Partnership Agreement, or other governing documents as applicable.
- Most recent certified financial statement. If a certified financial statement is not available, please submit a financial statement indicating the assets, liabilities, and capital of the company or a recent tax return filing.
- For clearing members, a copy of a recent account statement(s) from a Derivatives Clearing Organization evidencing the prospective participant's account.
- For a non-clearing member, documents evidencing the prospective participant's relationship with a clearing member to facilitate clearing.
- A copy of the firm's most recent compliance manual.

If you have any questions in regard to the membership application process, please email info@tpsef.com or compliance@tpsef.com.