

NFA Member Survey

It is vital that we collect a significant sample of responses to assess the importance of regulatory reform. Without action, we suffer as a whole.

It is your industry that we are fighting for.

Please take a moment and respond to the questions below.

You can send your response the following ways:

Email: bkerpe@qcmtrades.com

Mail: Benjamin Kerpe
6663 SW Beaverton Hillsdale HWY, #107
Portland, OR 97225

Fax: 770-558-4722

IMPORTANT: Please note that due to the sensitivity of this issue we will provide and assure **anonymity** for those who request it.

Allow us to be your voice in this matter or, better yet, join us publicly with a unified voice.

Anonymity: Yes No

****We still require your contact information if you choose to request anonymity.*

Contact Information

First Name: _____

Last Name: _____

IB name: _____

Address: _____

Phone: _____

Email: _____

If you would like to be kept up to date please provide your email address so we can add you to our mailing list.

Feel free to make copies for all those who would like to participate

NFA Member Survey

1. Have you ever been subject to a NFA Audit?

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

2. Have you been disciplined as an IB or AP?

<input type="checkbox"/>	<input type="checkbox"/>
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3. Are you aware that once a company you have worked for is disciplined, you will be tainted for life as well?

Y	N
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

Do you feel this is acceptable/practical?

4. Have you worked with tainted/disciplined brokers?

Y	N
<input type="checkbox"/>	<input type="checkbox"/>

If so, please provide their names:

5. Has the NFA's potentially prejudicial practices affected your business and/or employment opportunities?

Y	N
<input type="checkbox"/>	<input type="checkbox"/>

If so, please describe the affect. i.e. financial damage, character/credibility defamation, laid off, denied job opportunities, ect.:

6. Are you aware that the NFA publicly names/labels APs and IBs suspect of rule infractions prior to any defense, testimony, or response?

Y	N
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

Do you fee this is acceptable/practical?

7. Are you aware that the NFA can and has preformed proactive investigations whereby calling your clients, who have lost money trading, as to encourage them to testify against you?

Y	N
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

Do you feel this is acceptable/practical?

8. Are you aware that the NFA can bring sanctions against you without conclusive material evidence while relying solely on client/broker testimony?
Do you feel this is acceptable/practical?

Y	N
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

9. If you could reshape the rules written by the NFA which ones would you reform and why?
If you feel the NFA is a fair and righteous Association please state so, and why :

10. If a class action were to evolve, would you support our cause to reshape/reevaluate the rules and procedures commonly practiced by the NFA?

Y	N
<input type="checkbox"/>	<input type="checkbox"/>

11. Would you value/support an alternative self-regulatory body that promotes choice between membership rather than a regulatory monopoly?

Y	N
<input type="checkbox"/>	<input type="checkbox"/>

Thank you for your time and effort!

To review the results visit our website at: www.ifa-futures.com