

# BRIGHT TRADING, LLC PROSPECTIVE TRADER QUESTIONNAIRE

Trader Name: \_\_\_\_\_ Office: \_\_\_\_\_

Home Tel. No: \_\_\_\_\_

SS#: \_\_\_\_\_ Driver's License #: \_\_\_\_\_

## Professional Experience:

1. Have you traded on an exchange trading floor? **(check one)**  Yes  No  
If so, which exchange, for how long, and in what capacity?

\_\_\_\_\_

2. Have you traded professionally "off-floor"? **(check one)**  Yes  No  
If so, with whom, for how long, and in what capacity?

\_\_\_\_\_

3. Please list any other trading or related experience:

\_\_\_\_\_

\_\_\_\_\_

## Personal Trading/Investing experience:

1. Do you actively trade with a retail brokerage? **(check one)**  Yes  No  
If so, with whom, and for how long?

\_\_\_\_\_

2. Do you maintain a personal portfolio? **(check one)**  Yes  No  
If so, what type of investments?

\_\_\_\_\_

## Training or Licensing

1. Have you had any formal training? **(check one)**  Yes  No  
If so, with whom, and when?

\_\_\_\_\_

2. Do you hold, or have you held any NASD license? **(check one)**  Yes  No  
Which? When?

\_\_\_\_\_

3. Have you "self educated" through reading, etc.? **(check one)**  Yes  No  
If so, which books have you read?

\_\_\_\_\_

**Personal**

1. What qualities do you think a successful trader must possess?  
\_\_\_\_\_
  
2. Why do you think you can be a successful trader?  
\_\_\_\_\_  
\_\_\_\_\_
  
3. How long do you think it will take to be profitable?  
\_\_\_\_\_

**Additional Information:**

Please list any information that you feel is relevant to your trading with Bright Trading, LLC:

\_\_\_\_\_  
\_\_\_\_\_

**By signing this questionnaire, I certify as follows:**

1. I am at least 21 years of age.
2. The information set forth in this questionnaire, as well as any other information given to Bright Trading, LLC in connection with my application is true and complete.
3. I will not trade for the account of any other person.
4. I am aware of and acknowledge the inherent risks in equities trading and that I may lose all or part of my Performance Deposit.
5. I understand Bright Trading, LLC can make no guarantees as to my financial success.

\_\_\_\_\_  
**Signature** \_\_\_\_\_ **Date (mm/dd/yy)**

<b>FOR OFFICE USE ONLY</b>	
<b>Interviewed By:</b>	_____
<b>Comments:</b>	_____ _____ _____