INVESTMENT REFERENCE, INC.

9921 CARMEL MOUNTAIN ROAD, 305
SAN DIEGO, CA 92129

Phone 858.538.6345 - Facsimile 858.484.3484 - Cel 312.961.1533
www.irfutures.com *futurescompliance@earthlink.net*

GIB

To expedite the on-site examination of your office, please have the following items and records ready for our review. NOTE: Any items listed below that you maintain electronically on your computer MUST be printed out for our review, Thank you.

1. IB agreement and Guarantee Agreement (1FR-IB), or branch office agreement
2. Articles of Incorporation, Certificate of Limited Partnership and Partnership Agreement or Articles of Organization and Operating Agreement, if applicable. Also, Stock ledger, certificates, or other evidence of ownership in firm
3. Firm's check ledger, and most recent four months of bank statements
4. Copy of firm's privacy policy
5. Written business continuity / disaster recovery plan
6. Copy of firm's anti-money laundering procedures or the signed sheet adopting the procedures of the FCM. Signed statements from each person agreeing to adhere to the AMLP, and signed evidence of **annual** AML training for each person
7. Letter from FCM authorizing company to accept customer funds (1.57 letter)
8. Copy of previous NFA, internal or other audit reports
9. Signed attestation showing completion of the NFA Self-Examination Checklist
10. Printed list from NFA's website of all APs, Principals, and branch offices
11. Written ethics training procedures and evidence that every AP has completed that training
12. Most recent equity run (must be printed for review)
13. List of proprietary accounts for principals and APs
14. A sampling of order tickets, (if you place orders electronically, the printed daily order activity)
15. A sampling of customer account forms **- (They must be printed if you maintain them electronically) Please have no less than 4 and up to 12, (for firms with more than 60 customers), of the newest customer account opening documents for review**
16. At least three months of copies of customer checks with bank deposit slips (if you deposit)
17. List of **AP** discretionary accounts / **with the commission-to-equity ratio calculated** (Also have two monthly statements for each account with **AP** POA - NOT 3rd party POA)
18. FCM and/or firm's compliance / policy and procedures manual
19. Customer complaint file (Empty or not, you MUST have a complaint file)
20. Advertising / Promotional material file (Empty or not, you MUST have an advertising file)
21. Written procedures for any branch offices. **We will also need a copy of the most recent branch office audit you have conducted.** (If you have branches, it is a requirement that you have written branch office procedures and written proof that you have performed annual audits on those branches)
22. Any sales training material and / or telephone scripts