

## THIRD-PARTY TRADING ADVISOR CHECKLIST

As a largely unregulated business, foreign currency trading advisory is prone to false advertising and misleading information. IKON GM, Inc. ("IKON GM") cannot require a customer to do any "due diligence" on a third-party trading advisor ("Agent") prior to entering into an agreement with such Agent. However, IKON GM encourages customers to take such measures, and asks that customers acknowledge that they have read and, at the minimum, considered taking the following recommended steps before entering into any agreement with an Agent.

1. Have the Agent provide you with a disclosure document that, at the minimum, provides: the Agent's biography, outlines the investment methodology, discloses the fees charged by the Agent, and discloses the risks associated with the investment methodology;
2. Check with the National Futures Association, National Association of Securities Dealer, or other investment-related regulatory bodies to ensure the Agent has never been denied registration, nor that he has any disciplinary history (please contact IKON GM if you need assistance with such a background check);
3. Ask the Agent to provide you with references from existing clients;
4. Have your attorney or accountant verify the accuracy of any performance record provided to you by the Agent, and review any contractual agreement to be executed by and between you and the Agent.

I, the undersigned, represent and covenant that I have read and understand this "Third-Party Advisor Checklist":

X \_\_\_\_\_  
Customer Signature

\_\_\_\_\_ Date

### **Commodity Futures Trading Commission**

Three Lafayette Centre  
1155 21<sup>st</sup> Street, N.W.  
Washington, DC 20581  
202.418.5000  
[www.cftc.gov](http://www.cftc.gov)

### **National Association of Securities Dealers**

1735 K Street, N.W.  
Washington, DC 20006  
800-289-9999  
[www.nasdr.com](http://www.nasdr.com)

### **National Fraud Information Center**

P.O. Box 65868  
Washington, DC 20035  
800.876.7060  
[www.fraud.org](http://www.fraud.org)

### **National Futures Association**

200 W. Madison Street  
Suite 1600  
Chicago, IL 60606-3447  
800.621.3570  
[www.nfa.futures.org](http://www.nfa.futures.org)