

**WALL STREET CONSULTING SERVICES, LLC**

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**PRODUCING BROKER DEALER PROFILE**

FIRM NAME: \_\_\_\_\_ CRD # \_\_\_\_\_

ADDRESS: \_\_\_\_\_

CITY: \_\_\_\_\_ STATE: \_\_\_\_\_ ZIP: \_\_\_\_\_

PRINCIAPAL OWNER: \_\_\_\_\_ NUMBER OF OWNERS/SHAREHOLDERS: \_\_\_\_\_

STATE OF INCORPORATON: \_\_\_\_\_ FIDELITY BOND: \_\_\_\_\_

YEAR INCORPORATED: \_\_\_\_\_ YEAR MEMBERSHIP APPROVED: \_\_\_\_\_

NET CAP REQUIREMENT (5K, 25K, 50K, 100K): \_\_\_\_\_ CLEARING FIRM: \_\_\_\_\_

NUMBER OF STATE REGISTRATIONS: \_\_\_\_\_ PRIMARY STATE: \_\_\_\_\_

NUMBER OF OSJ OFFICES: \_\_\_\_\_ NUMBER OF INDEPENDENT OFFICES: \_\_\_\_\_

NUMBER OF REGISTERED PRODUCERS: \_\_\_\_\_ NUMBER OF COMPLIANCE STAFF: \_\_\_\_\_

NUMBER OF OPERATIONAL PERSONAL: \_\_\_\_\_ ANY OUTSOURCED FUNCTIONS: \_\_\_\_\_

TYPES OF BUSINESS YOU CONDUCT: \_\_\_\_\_

NUMBER OF BROKER DEALER ACCOUNTS: \_\_\_\_\_ TOTAL ASSETS OF BROKER DEALER: \_\_\_\_\_

NUMBER OF MANAGED ACCOUNTS: \_\_\_\_\_ TOTAL MANAGED ASSETS: \_\_\_\_\_

CURRENT MARGIN INTEREST: \_\_\_\_\_ TICKETS WRITTEN TO DATE: \_\_\_\_\_

GROSS REVENUE TO DATE: \_\_\_\_\_ NET REVENUE TO DATE: \_\_\_\_\_

FIRM TICKET CHARGE RATE: \_\_\_\_\_ GROSS REVENUES TO DATE: \_\_\_\_\_

GROSS REVENUES 2009: \_\_\_\_\_ GROSS REVENUES 2010: \_\_\_\_\_

ANY PENDING CUSTOMER COMPLAINTS? \_\_\_\_\_ ANY REGULATORY SANCTIONS OVER LAST 24 MONTHS? \_\_\_\_\_

**BUSINESS LINES** (check all that apply): RETAIL: \_\_\_\_\_ INSTITUTIONAL: \_\_\_\_\_ OPTIONS: \_\_\_\_\_  
OVER THE COUNTER STOCKS: \_\_\_\_\_ CORPORATE BOND: \_\_\_\_\_ MUNICIPAL BONDS: \_\_\_\_\_  
MUTUAL FUNDS: \_\_\_\_\_ INVESTMENT BANKING: \_\_\_\_\_ WRITING RESEARCH: \_\_\_\_\_  
PENNY STOCKS: \_\_\_\_\_ PRIME BROKER: \_\_\_\_\_ SOFT DOLLAR: \_\_\_\_\_  
LIMITED PARTNERSHIPS: \_\_\_\_\_ PRIVATE PLACEMENTS: \_\_\_\_\_ FIXED INCOME TRADING DESK: \_\_\_\_\_  
EQUITY TRADING DESKS: \_\_\_\_\_ RISKLESS PRINCIPAL TRADING: \_\_\_\_\_ PROPRIETARY TRADING: \_\_\_\_\_  
MARKET MAKING: \_\_\_\_\_ VARIABLE INSURANCE ACCOUNTS: \_\_\_\_\_  
VARIABLE INSURANCE REVENUES: \_\_\_\_\_

NAME OF EMAIL RETENTION SYSTEM USED: \_\_\_\_\_

My firm currently has a website? \_\_\_\_\_

## **SELLER CONTACT INFORMATION**

NAME: \_\_\_\_\_ TITLE: \_\_\_\_\_

PHONE: \_\_\_\_\_ CELL: \_\_\_\_\_

FAX: \_\_\_\_\_ EMAIL: \_\_\_\_\_

ALTERNATE CONTACT INFORMATION: \_\_\_\_\_

Upon completion, please fax back to Wall Street Consulting Services, LLC at 561-753-7717. **PLEASE REMEMBER TO INCLUDE A COPY OF YOUR MEMBERSHIP AGREEMENT OR ANY RESTRICTIVE AGREEMENT THAT FINRA MAY HAVE PLACE UPON YOU.**

**ALL INFORMATION PROVIDED IN THIS DOCUMENT IS CONSIDERED STRICTLY CONFIDENTIAL AND IS ONLY TO BE USED TO ASSISTING IN NEGOTIATIONS DURING THE SALE PROCESS AND THE FIRM'S LISTING ON WALL STREET'S SITE.**

