

**SUPERVISION REPORT For Pro Traders**

I hereby certify that supervision has been conducted for the month of \_\_\_\_\_  
 on \_\_\_\_\_ by the undersigned. The following are among  
 the principal areas that have come under particular scrutiny.

- (1) All orders, both buy and sell, have been reviewed and signed by myself or a senior officer, by the next business day.
- (2) In addition to (1), the inventory blotter specific to this individual's pro trading has been reviewed and signed by myself by the next business day.
- (3) All accounts of the approved person have been reviewed on a daily and monthly basis based on the standards established for the Minimum Industry Standards for Account Supervision;
- (4) A review of trading activity on a daily basis has been conducted relative to the approved person's own accounts;
- (5) No complaints have been received during the period covered;

Comment by supervisor on reasons for inability to comply with any of the above.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Director/Senior Officer/Branch Manager

\_\_\_\_\_  
Employing Member Firm

\_\_\_\_\_  
Name of Director/Senior Officer/Branch Manager  
(please print)