ADMIS Online Account Application

November 2011
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Overview

- **Simple, Efficient, Secure**
The ADMIS Online Application has been designed to provide a simple, efficient, secure way for an applicant to provide ADMIS and the broker with all the information necessary to open an account. The system also allows the ADMIS New Accounts Department to review the application and the broker to approve the account. While there will always be circumstances where an application may need to be made on paper, the expectation is that a substantial majority of all applications will be completed using the ADMIS Online Application. The system can be accessed via a link that is specific to each office. The ZZZ in this link would be replaced by the office number:

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- **Online application is the same as the paper application**
The Online Application was developed using the existing ADMIS Customer Account Application. No new forms or questions were added to the application. Thus, review by the ADMIS New Accounts Department and the broker can be done the same way as it was for paper applications. The only difference for an online applicant will be a few initial questions to establish his or her identity, create a username and password and determine which forms are needed. **For the broker, there is no difference in the approval process - review the information provided by the applicant, make any additional inquiries, assign a sales code and account number and then check a box to indicate approval and save a copy for the broker's own files.**

- **Supplemental documents can be uploaded directly to ADMIS**
For many individual accounts the entire application can be completed online in 15-20 minutes. The only requirement is an email address which will allow ADMIS to securely provide access to only authorized users. For corporate, LLC, partnership and trust accounts ADMIS has always requested copies of the organizational documents. The online system will allow the applicant to upload electronic versions of those documents directly to the New Accounts Department. Similarly, accounts traded by third parties, hedge accounts and other accounts with special characteristics may also need to supply additional documents and those documents can be uploaded directly to the New Accounts Department.
Overview

- **Application Process & Broker Review Process described in this guide**
  The description of the system that follows is divided into the application process and the broker review process. The application pages show the forms that applicants will encounter depending on their characteristics. Completing the forms is simple. Once the information is entered the applicant electronically “signs” the document and moves on. If any required information is omitted, the location with the missing information is highlighted and must be completed before proceeding. The applicant can leave the application at any point and return using the username and password that were created.

- **Forms needed for each type of account are shown**
  On the following pages, white or green forms are documents that must be completed by all applicants in the relevant category. Blue forms require manual signatures and may be uploaded into the system after completion. Finally, blue boxes indicate external documents than must be provided.

- **Broker Approval screens are reviewed**
  The broker approval section shows the screens that will be used to approve accounts. The broker can select an application, review the documents and approve the application. Once the broker approves the application the New Accounts Department will enter the account into the GMI System and notify the broker that the account has been established and may be funded.
APPLICATION SCREENS
Create Username & Password

- After a Welcome screen which briefly explains the application process, the applicant will be asked to provide an email address, create a username and password. Indicate the name of a broker and select two security questions. The broker name is not required but can help the ADMIS New Accounts Department to place the account in the proper office.
- Completion of this screen will generate an email to the address provided by the user. The email will include a link for the applicant to use in order to continue the application process.
Introduction Screens

Electronic Signature Agreement

Privacy Policy

Survey

See next page for details
Survey

The following simple questions will create an application that includes only the necessary forms. Some of these questions will also fill in answers in the application. Answering each question carefully will make the application process much easier.

Ten Questions Application Survey

1. Legal Entity:
   - Individual (or IRA)
   - Joint (Tenants-in Common or Right to Survivorship)
   - Partnership (General or Limited)
   - Corporation
   - Limited Liability Company
   - Trust (Revocable or Irrevocable)

2. What type of products do you plan to trade?
   - Commodity Futures and/or Options on Futures Products
   - Foreign Exchange Products
   - Both

3. Are you doing business under another name?
   - Yes
   - No

4. Type of Account:
   - Speculative Account
   - Hedge Account

5. Will this account be traded by a third party?
   - Yes
   - No

6. Check all of the following that apply to you:
   - You have no previous Commodity Contract trading experience
   - Annual salary (or income) below $25,000
   - Net worth below $50,000
   - You are over 65 years of age
   - You are under 21 years of age
   - None of the above applies

7. Will you be transferring your account from another firm?
   - Yes
   - No

8. Is any third party:
   - Personally guaranteeing this account?
   - A financial institution with a security interest in this account?
   - None of the above

9. Is this a custodial account?
   - Yes
   - No

10. Are you?
    - A U.S. Citizen
    - A Canadian Citizen
    - Neither a US nor a Canadian Citizen
All Applications

Risk Disclosure
Futures/Options

Customer Account Application

Credit Information

Application to Receive Customer Statement and Information By E-Mail

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Customer Agreement

Online Access

Statements by Email

Arbitration

These options do not have to be selected but the applicant must review the form and then either accept or skip.
U.S. Individual or Joint Accounts

Application

Form W-9

Must be uploaded, emailed or faxed to New Accounts Dept.
Corporate Accounts

CUSTOMER ACCOUNT APPLICATION
ALL INFORMATION MUST BE FURNISHED BY CUSTOMER

B. CORPORATE or LIMITED LIABILITY COMPANY (LLC) (Section E must also be completed)

Check each box applicable

- [ ] Broker Account
- [ ] Secretary

Name of Corporation/LLC

Corporate LLC Account Title

State of Incorporation or Formation

City

State

City

State

City

State

City

State

City

State

Zip + County

Street Address

City

State

Zip + County

Email Address

Fax Number

Purpose of business for which corporation/LLC is organized

Gross revenue previous operating year

Initial Capitalization

Bank

Office

Current Capitalization

City

State

Zip

1. Does the Corporation/LLC control the trading in any other ADM/Commodity account?
   - [ ] Yes
   - [ ] No

2. Will this account be traded or managed by anyone else?
   - [ ] Yes
   - [ ] No

3. Does any other person or entity have any financial interest in this account?
   - [ ] Yes
   - [ ] No

4. Is the Corporation/LLC or any of its Principals or Affiliates presently a Member on an Exchange?
   - [ ] Yes
   - [ ] No

5. Is Corporation/LLC a Futures Commission Merchant or Introducing Broker (as defined by the CFTC)?
   - [ ] Yes
   - [ ] No

The foregoing information is correct and complete as of this date.

X SIGNATURE

ADDRESS

NAME

TITLE

DATE

CORPORATE RESOLUTION

I, the undersigned (Assistant) Secretary having the custody of the records of the Corporation organized and existing under the laws of the State of

(having its principal office at

the Corporation) DO HEREBY CERTIFY that at a meeting of the Board of Directors of said Corporation duly held on the day of

the following resolutions were duly adopted:

1. RESOLVED: That each of the following individuals, who is an officer, manager, employee, and agent of the Corporation named below, is hereby authorized to trade in commodity futures, commodity options, forward contracts, foreign exchange, physical or cash commodities, and exchange for physical delivery transactions (collectively, “Trading Activity”), on behalf of the Corporation:

   [List of signers]

   - [ ] Each signer is an officer, manager, employee, and agent of the Corporation, and any action taken pursuant to this resolution will be within the powers of the Corporation.

   - [ ] The Corporation has provided each signer with written instructions regarding their Trading Activity and has implemented controls to monitor and control Trading Activity.

2. RESOLVED: That the Corporation is hereby authorized to enter into and carry out Trading Activity in accordance with the resolutions adopted above.

3. RESOLVED: That each of the following trading activity limitations, if any, are hereby adopted:

   [List of trading activity limitations]

4. RESOLVED: That the Corporation is hereby authorized and empowered to do all acts necessary and proper for the conduct of its Trading Activity.

5. RESOLVED: That the Corporation is hereby authorized to enter into and carry out Trading Activity in accordance with the resolutions adopted above.

6. RESOLVED: That the Corporation is hereby authorized to enter into and carry out Trading Activity in accordance with the resolutions adopted above.

7. RESOLVED: That the Corporation is hereby authorized to enter into and carry out Trading Activity in accordance with the resolutions adopted above.

8. RESOLVED: That the Corporation is hereby authorized to enter into and carry out Trading Activity in accordance with the resolutions adopted above.

9. RESOLVED: That the Corporation is hereby authorized to enter into and carry out Trading Activity in accordance with the resolutions adopted above.

10. RESOLVED: That the Corporation is hereby authorized to enter into and carry out Trading Activity in accordance with the resolutions adopted above.

11. RESOLVED: That the Corporation is hereby authorized to enter into and carry out Trading Activity in accordance with the resolutions adopted above.

12. RESOLVED: That the Corporation is hereby authorized to enter into and carry out Trading Activity in accordance with the resolutions adopted above.

13. RESOLVED: That the Corporation is hereby authorized to enter into and carry out Trading Activity in accordance with the resolutions adopted above.

14. RESOLVED: That the Corporation is hereby authorized to enter into and carry out Trading Activity in accordance with the resolutions adopted above.

15. RESOLVED: That the Corporation is hereby authorized to enter into and carry out Trading Activity in accordance with the resolutions adopted above.

16. RESOLVED: That the Corporation is hereby authorized to enter into and carry out Trading Activity in accordance with the resolutions adopted above.

17. RESOLVED: That the Corporation is hereby authorized to enter into and carry out Trading Activity in accordance with the resolutions adopted above.

18. RESOLVED: That the Corporation is hereby authorized to enter into and carry out Trading Activity in accordance with the resolutions adopted above.

19. RESOLVED: That the Corporation is hereby authorized to enter into and carry out Trading Activity in accordance with the resolutions adopted above.

20. RESOLVED: That the Corporation is hereby authorized to enter into and carry out Trading Activity in accordance with the resolutions adopted above.

IN WITNESS WHEREOF, I have hereunto subscribed my name and affixed the seal of said Company.

(Assistant) Secretary

Unsolicited Government Issued Photo ID Required

ID of signers

Articles of Incorporation
LLC Accounts

CUSTOMER ACCOUNT APPLICATION

ALL INFORMATION MUST BE FURNISHED BY CUSTOMER

B. CORPORATE or LIMITED LIABILITY COMPANY (LLC)

Check each box applicable: [ ] Foreign Account [ ] Domestic Account

Name of Corporation/LLC: [ ] [ ]

Corporate LLC Name (the name(s) of member(s) owning a majority of the stock or capital of the LLC): [ ]

Address of principal office:

City: [ ] State: [ ] Zip: [ ]

City: [ ] State: [ ] Zip: [ ]

Phone Number: [ ]

Email Address: [ ]

Attorney for member, manager, employee of the LLC, or any person authorized to act on behalf of the LLC:

Name: [ ]

Signatures:

The following resolutions were duly adopted, that said resolutions have not been amended, rescinded or revoked and are in no way inconsistent with any of the provisions of the charter or membership agreement of said Company.

ID of signers must be uploaded, emailed or faxed to New Accounts Dept.

LIMITED LIABILITY COMPANY AUTHORIZATION

I, [ ] being the [ ] and having custody of the records of [ ] a Limited Liability Company organized and existing under the laws of the State of [ ] having its principal office at [ ] (the “Company”), DO HEREBY CERTIFY that at a meeting of the members of said Company duly held on the day of [ ] the following resolutions were duly adopted, that said resolutions have not been amended, rescinded or revoked and are in no way inconsistent with any of the provisions of the charter or membership agreement of said Company.

1. RESOLVED: That each of the members, managers, employees and agents of this Company, named below, is hereby authorized to trade in commodity futures, options and option contracts, foreign exchange, physical or cash commodities, and/or to do business within the jurisdiction of each of the state or states where the Company or any of its agents or employees may do business or purchase or sell any commodity interest thereon (including any and all future delivery) for or on behalf of the Company and that said members, managers, employees and agents shall be authorized to sign any and all agreements, contracts and documents, and shall have full power and authority to do all acts necessary in connection with any such transactions, and that the authority hereby granted shall be binding on said Company.

2. RESOLVED: That any and all past transactions of any kind herein authorized, which may have been herebefore made on behalf of the Company through or with said firm of ADM Investor Services, Inc., be and hereby are ratified, and said firm of ADM Investor Services, Inc., is authorized to act on behalf of the Company.

In Witness Whereof we have hereunto set our names this day of [ ] 20[ ]

[Signature]

[Signature]

[Name]

[Name]

[Title]

[Title]

[Date]

[Date]
## Partnership Accounts

### Partnership Authorization

I, __________________, a General Partner and having custody of the records of __________________, a partnership organized and existing under the laws of the State of __________________ or (Country of __________________) (the “Partnership”) DO HEREBY CERTIFY that:

1. Each of the general partners, partners, employees and agents of the Partnership named below is hereby authorized to trade in commodity futures, commodity options, forward contracts, foreign exchange or physical or cash commodities, and for exchange for physical (SEEF) or Exchange for Risk (EER) transactions collectively (“Commodity Contracts”) for the Partnership.

   - General Partnership: __________________
   - General Trading Partnership: __________________
   - Limited Partnership: __________________
   - Limited Partnership: __________________

2. The Partnership hereby grants the General Partners, partners, employees and agents of the Partnership named below the authority to act on behalf of the Partnership in entering into all Commodity Contracts on behalf of the Partnership.

   - Power of Attorney: __________________
   - Authority: __________________

3. The Partnership hereby grants the General Partners, partners, employees and agents of the Partnership named below the authority to act on behalf of the Partnership in the following:

   - (a) To buy, sell and agree to buy and sell Commodity Contracts for present or future delivery, on margin or otherwise, the power to sell including the power to sell “short”;
   - (b) To buy and to grant out and sell options on Commodity Contracts, and to exercise options and all other activities generally associated with Commodity Contracts;
   - (c) To deposit with and withdraw from said firm money, securities and other property for the purchase or sale of Commodity Contracts, including option premiums; and
   - (d) To receive and expend all moneys, securities and other property in connection with the purchase or sale of Commodity Contracts.

4. To execute and acknowledge in the name of the Partnership all documents in connection with the Partnership’s business, and to execute all other documents necessary or desirable in connection with the business of the Partnership.

5. To execute documents binding the Partnership and to open one or more trading accounts.

I do further certify that the signature opposite each name listed below is the true and genuine signature of each person named.

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Signature</th>
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</table>

It is further understood that any and all past transactions of any kind heretofore authorized, which may have been hereafter made on behalf of this Partnership through or with said firm of ADM Investor Services, Inc., are and hereby are ratified and that ADM Investor Services, Inc. is authorized to act upon the above with receipt by it of a written notification showing modification or renunciation signed by the General Partner having custody of the records of this Partnership.

ADM Investor Services, Inc. is hereby authorized to rely upon this Authorization until the same shall be revoked in writing or superseded by a like Authorization of a later date.

In Witness Whereof, I have hereto subscribed my name this __________ day of __________, 20__

General Partner

[Signature]

[Photo ID Required]

### Partnership Agreement

- **PFA**: Partnership for Agreement
- **ID of signers**: Identification of Signers

### Customer Account Application

**PARTNERSHIP ACCOUNT**

- **Type of business**
- **Principal Address**
- **City**, **State**, **Zip**
- **Billing Address**
- **City**, **State**, **Zip**

**C. PARTNERSHIP ACCOUNT**

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Signature</th>
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</table>

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**ID of signers**

- **Partnership Agreement**

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**Partnership Authorization**

- **Signature**
- **ID of signers**
Trust Accounts

CUSTOMER ACCOUNT APPLICATION
ALL INFORMATION MUST BE FURNISHED BY CUSTOMER

D. TRUST ACCOUNT

Check each box applicable: Estate Account Discretionary

Name of Trust:

Trust Account Title:

Trust Number:

Date of Creation:

Trustee of Trust:

Residence:

Phone Number:

Fax Number:

Trust Address:

Names of each Trustee (or other person, partnership or entity with respect to Trust account)

Customer information is required to be submitted on request for new accounts.

ID of signers

Trust Indemnification

Must be uploaded, emailed or faxed to New Accounts Dept.

Trust Agreement

TO: ADM Investor Services,
141 W. Jackson, Suite 1600A
Chicago, IL 60604

ATTN: Compliance Department

In connection with ADM Investor Services, Inc. establishing a commodity futures and options trading account for ____________________________ (Name of Trust)

The undersigned Grantor(s), Settlor(s) and/or Trustee(s) hereby represent that the Trust is fully authorized to use the Trust’s funds for commodity futures and options trading. The undersigned further agree to indemnify and hold ADM Investor Services, Inc., its officers, employees and agents harmless from any damages arising from any action or claim instituted in any forum that alleges the trust was not authorized to use Trust’s funds for commodity futures and options trading.

Date: ____________________________

Grantor: ____________________________

Settlor: ____________________________

Trustee: ____________________________

The foregoing information in section D. is certified to be true and accurate as of this date.

Signature: ____________________________

NAME: ____________________________

TITLE: ____________________________

DATE: ____________________________
As with futures/options, an individual forex account (with no special circumstances) can be done entirely online with the completion of the “All Applications” screens, Individual account screens and these screens.
SFP Accounts

As with futures/options, an individual SFP account (with no special circumstances) can be done entirely online with the completion of the “All Applications” screens, Individual account screens and this screen.

Risk Disclosure

Section 1 - Risks of Security Futures

1.1. Risks of Security Futures Transactions

Trading security futures contracts may not be suitable for all investors. You may lose a substantial amount of money in a very short period of time. The amount you may lose is potentially unlimited and can exceed the amount you originally deposit with your broker. This is because the margin to trade is highly leveraged, with a relatively small amount of money used to establish a position in assets having a much greater value. If you are uncomfortable with this level of risk, you should not trade security futures contracts.

1.2. General Risks

Trading security futures contracts involves risk and may result in potentially unlimited losses greater than the amount you deposit with your broker. As with any high risk financial product, you should not risk any funds that you cannot afford to lose, such as your retirement savings, medical and other emergency funds. Funds set aside for purposes such as education or home ownership, proceeds from student loans or mortgages, or funds required to meet your living expenses.

Be cautious of claims that you can make large profits from trading security futures contracts. Although the high degree of leverage in security futures contracts can result in large and immediate gains, it can also result in large and immediate losses. As with any financial product, there is no such thing as a “sure winner.”

Because of the leverage involved and the nature of security futures contract transactions, you may feel the effects of your losses immediately. Gains and losses in security futures contracts are credited or debited to your account, at a minimum, on a daily basis. If movements in the markets for security futures contracts or the underlying security decrease in value, you may lose all or a part of your investment. If your investments are in security futures contracts, you may be required to have or make additional margin payments to your broker. If your account is under funded, your broker may liquidate your position or close out your accounts, order you to deposit additional funds, or impose other limitations. If your account is under funded, you may lose all or a part of your investment. If your account is under funded, you may lose all or a part of your investment.
Discretionary Accounts

The Trading Authorization must be completed for all Discretionary Accounts. The New Accounts Dept. may require the Exempt CTA or CPO form. If the trader is not registered with NFA or exempt then a copy of ID must be forwarded to New Accounts.

Trading Authorization

Exempt CTA

Exempt CPO

Must be uploaded, emailed or faxed to New Accounts Dept.

ID of trader, if not registered or exempt
Hedge Accounts

HEDGE ACCOUNT REPRESENTATION LETTER

Gentlemen:
I am applying for hedge margin trades since my trades are an integral part of my firm’s business and are used to offset, or reduce risk of price flucutations in customer commodities.

Attach the notice and proof of your business.

This is to certify that all transactions executed in the following commodities for the undersigned account will be for long and short term purposes:

[Commodities listed here]

The undersigned (Customer) represents to ADM Investor Services, Inc. (ADMIS)* that the account is carried with ADMIS for the specific and/or accumulative purpose of hedging commodities, as defined in Rule 1.2 of the Commodities Futures Trading Commission. The account will be treated accordingly by Customer with the understanding that Customer will notify ADMIS if any changes occur in Customer’s treatment of the account. The account is subject to margin requirements and to other rules and regulations prescribed for hedge accounts by the various commodity exchanges and the Commodities Futures Trading Commission.

[Signatures and dates]

Hedge Letter

SECURITY AGREEMENT AND ASSIGNMENT OF HEDGING ACCOUNT

[Text of security agreement]

Must be uploaded, emailed or faxed to New Accounts Dept.
Foreign Accounts

As with a U.S. account, a individual foreign account (with no special circumstances) can be done entirely online with the completion of the “All Applications” screens, Individual account screens (with a W-8BEN instead of the W-9) and these screens.

**NOTICE TO FOREIGN TRADERS**

This is to notify you of the requirements of Commodity Futures Trading Commission ("CFTC") Regulations 15.05 and 21.03.

Regulation 15.05 Regulation 15.05 provides, among other things, that the CFTC will treat us as your agent for the service of any communication from the CFTC to you, unless you give us a written agreement designating another person domiciled in the United States as your agent for this purpose.

Regulation 21.03 Regulation 21.03 provides, among other things, that the CFTC may issue a special call to us for certain information concerning your account and transactions in your account if the CFTC determines that such information may be needed to address the problem of market manipulation, corner, squeeze or other market control activities.

This regulation sets forth the type of information that may be called for by the CFTC and includes such things as the general or persons having an interest in the account, the futures and options positions carried in the account and various other matters. A person that fails to comply with a request for information is subject to having prohibitions against further trading activities in the futures and options involved.

---

**Canadian Usage Agreement**

Canadian Usage Agreement

ADM Investor Services did not directly or indirectly solicit, advertise to, initiate a communication with, or otherwise induce you to select or access the Online Account Application or any of its associated pages.

It is recommended that you print out a copy of this agreement and keep it for your records.

I acknowledge and accept.

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**Form W-8BEN**

Must be uploaded, emailed or faxed to New Accounts Dept.

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**Notice to Foreign Traders**

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Special Circumstances

**LETTER OF TRANSFER**

Instructions to Transfer Account to ADM Investor Services, Inc.

<table>
<thead>
<tr>
<th>Delivering Broker's Name</th>
<th>All Account Numbers at Delivering Broker</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>2</td>
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<tr>
<td></td>
<td>3</td>
</tr>
</tbody>
</table>

City: _____ State: _____ Zip Code: _____

I, [Deliverer's Name], hereby transfer the above account(s) to ADM Investor Services, Inc., 141 W. Jackson Blvd., Chicago, Illinois 60604-2150 subject to the approval and in accordance with the applicable rules. The Delivering Broker shall deliver to ADM Investor Services, Inc. a letter of transfer with the above information, signed by both the Delivering Broker and the Customer. If the transfer is approved, ADM Investor Services, Inc. shall notify the Delivering Broker promptly. If the transfer is not approved for any reason, if the transfer is approved, ADM Investor Services, Inc. shall pay the delivering broker any net debit balance.

IF MORE THAN ONE PARTY IS TRANSFERRING ACCOUNT(S), ALL MUST SIGN:

X Signature

NAME: _____ TITLE: _____ DATE: _____

Customer's Name: _____ Account Number(s) at ADM Investor Services, Inc.: _____

City: _____ State: _____ Zip Code: _____

**CUSTODIAL ACCOUNT AGREEMENT**

THIS AGREEMENT made this _____ day of _____, 20 _____, between [Customer's Name] and ADM Investor Services, Inc. ("ADMIS"), an Illinois corporation with its principal place of business at 141 W. Jackson Blvd., Chicago, Illinois 60604-2150.

1) The Customer is the custodian to hold in the name of the minor child or children, the following account(s) held with ADMIS:

Chilldren's Names: _____ Social Security Number: _____

2) The Customer agrees to indemnify, defend, save and hold ADMIS harmless from any action, suit, claim or demand, whether by agreement, tort, breach of warranty, breach of this agreement or for any other reason, which may arise in connection with this account and any assets herein. The Customer further agrees to indemnify ADMIS against any loss, cost, expense (including reasonable attorneys' fees) or liability which ADMIS may suffer or incur in connection with the terms of this agreement.

3) The Customer agrees to comply with all Federal, State and local laws and regulations under the terms of this agreement.

Custodial's Signature

Must be uploaded, emailed or faxed to New Accounts Dept.
Special Circumstances

After review of the application the New Accounts Dept. may request a “Non-Solicitation” letter from the applicant. There forms for the various types of accounts (i.e. individual, corporate, foreign, etc.)
BROKER APPROVAL SCREENS
When you select “Online Application Admin” you will see the list of applications for your office. You can narrow the list of applications by searching for a specific customer name or applications with a certain status:

- **Working** – means the customer is still completing or revising the application
- **Submitted** – the customer has finished with the application
- **Complete** – ADMIS New Accounts has verified that all necessary information has been submitted
- **Abandoned** – Applications that had not been approved 100 days after the start date of the application
Review Selected Documents

- When you select an application from the “Overview Applications” screen you will see a listing of all the forms that made up that application. These forms will have been reviewed by the New Accounts Dept. for completeness.
- You can now review the application.
Review Selected Documents

- When you click on “Select” next to a form, that form with all information entered by the applicant will appear in the bottom portion of the screen for you to review.
- When you click on “Edit” you will see the screen on the next page.

Information entered by applicant appears here
Assign Account Number

The final step in the approval process is to assign a “Salesman” code and an Account Number. The appropriate office code should already appear.
Broker Approval

To “Approve” an account simply check the box and click “Save”.

[Image of a webpage showing the approval process for an account, with options to select and approve a principal for trading futures and options, and another option for forex.]
Other Functions

The remaining functions allow you to print documents from the application or create a pdf file of the application for your records.
ADMIS Contacts

- Tech Support 1-312-242-7299
- New Accounts 1-312-242-7150
# Appendix

## Forms Required by Account Type

<table>
<thead>
<tr>
<th>INDIVIDUAL</th>
<th>JOINT</th>
<th>CORPORATE</th>
<th>LLC</th>
<th>PARTNERSHIP</th>
<th>TRUST</th>
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<td>Welcome</td>
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<td>Privacy Policy</td>
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<td>Risk Disclosure Futures &amp; Options</td>
<td>Risk Disclosure Futures &amp; Options</td>
<td>Risk Disclosure Futures &amp; Options</td>
<td>Risk Disclosure Futures &amp; Options</td>
<td>Risk Disclosure Futures &amp; Options</td>
<td>Risk Disclosure Futures &amp; Options</td>
</tr>
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<td>Credit Information</td>
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<td>Credit Information</td>
<td>Credit Information</td>
<td>Credit Information</td>
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</tr>
<tr>
<td>Application to Receive Online Access</td>
<td>Application to Receive Online Access</td>
<td>Application to Receive Online Access</td>
<td>Application to Receive Online Access</td>
<td>Application to Receive Online Access</td>
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</tr>
<tr>
<td>Arbitration</td>
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<td>Arbitration</td>
<td>Arbitration</td>
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</tr>
<tr>
<td>Form W-9</td>
<td>Corporate Resolution (ID of signers)</td>
<td>LLC Authorization (ID of signers)</td>
<td>Partnership Authorization (ID of signers)</td>
<td>Trust Indemnification (ID of signers)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(Articles of Incorporation)</td>
<td>(LLC Agreement)</td>
<td>(Partnership Agreement)</td>
<td>(Trust Agreement)</td>
<td></td>
</tr>
</tbody>
</table>

Highlighted forms must be completed manually
Forms in ( ) are external documents that must be provided
# Appendix

## Forms Required by Account Type

### Additional Forms Based on Products to be Traded

<table>
<thead>
<tr>
<th>Forex</th>
<th>Risk Disclosure Forex</th>
<th>ECP Form</th>
<th>Forex Account Profitability</th>
<th>Risk Disclosure Forex</th>
<th>ECP Form</th>
<th>Forex Account Profitability</th>
<th>Risk Disclosure Forex</th>
<th>ECP Form</th>
<th>Forex Account Profitability</th>
<th>Risk Disclosure Forex</th>
<th>ECP Form</th>
<th>Forex Account Profitability</th>
<th>Risk Disclosure Forex</th>
<th>ECP Form</th>
<th>Forex Account Profitability</th>
<th>Risk Disclosure Forex</th>
<th>ECP Form</th>
<th>Forex Account Profitability</th>
<th>Risk Disclosure Forex</th>
<th>ECP Form</th>
<th>Forex Account Profitability</th>
</tr>
</thead>
<tbody>
<tr>
<td>SFP</td>
<td>Risk Disclosure SFP</td>
<td></td>
<td></td>
<td>Risk Disclosure SFP</td>
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</tbody>
</table>

### Additional Forms Based on Other Characteristics of the Account

<table>
<thead>
<tr>
<th>Discretionary Account</th>
<th>Trading Authorization</th>
<th>Exempt CTA Form</th>
<th>Exempt CPO Form</th>
<th>(ID of Trader-if not registered or exempt)</th>
<th>Exempt CTA Form</th>
<th>Exempt CPO Form</th>
<th>(ID of Trader-if not registered or exempt)</th>
<th>Exempt CTA Form</th>
<th>Exempt CPO Form</th>
<th>(ID of Trader-if not registered or exempt)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Foreign Account</td>
<td>Notice to Foreign Traders</td>
<td>Form W-8BEN, in place of Form W-9</td>
<td>Notice to Foreign Traders</td>
<td>Form W-8BEN, in place of Form W-9</td>
<td>Notice to Foreign Traders</td>
<td>Form W-8BEN, in place of Form W-9</td>
<td>Notice to Foreign Traders</td>
<td>Form W-8BEN, in place of Form W-9</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td>Letter of Transfer</td>
<td>Custodial Account Agreement</td>
<td>Non-solicitation Letter</td>
<td>Custodial Account Agreement</td>
<td>Non-solicitation Letter</td>
<td>Custodial Account Agreement</td>
<td>Non-solicitation Letter</td>
<td>Custodial Account Agreement</td>
<td>Non-solicitation Letter</td>
<td></td>
</tr>
</tbody>
</table>

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