GAIN | CAPITAL

New Account Instructions
Individual Account

Required Forms for All Applicants

1. **Customer Application** (includes wording equivalent to a W9 tax form) – note the two areas for signature on the second page of this form.
2. **Customer Agreement and Risk Disclosure:**
   - Page 4 - Risk Disclosure Statement for Futures and Options
   - Page 14 - Acknowledgement of the Commodity Customer Agreement
   - Page 16 - Arbitration Agreement
   - Page 18 - Electronic Trading and Order Routing Disclosure
   - Page 19 - Electronic Delivery of Statements
   - Page 20 - Non-Cash Margin Disclosure
   - Page 21 - Subordination Agreement
   - Page 22 - Hedge Agreement – Applicable only to bona fide hedgers.
3. **CFTC Privacy Notice**
4. **Customer Acknowledgement and Warranty**

Foreign

5. **W8 Tax Form** – Applicable to applicants with non-US citizenship and not domiciled in the US
6. **Passport/Utility** – Applicable to applicants with non-US citizenship and not domiciled in the US. Submit a Passport copy or other Government-Issued ID AND a current Utility Bill, Bank Statement or other document to enable additional verification of identity.

May also be needed:

7. **Additional Risk Disclosure –** applicable if:
   - No prior commodity trading experience OR
   - Annual income of 25,000 or less; OR
   - Net worth of 25,000 or less.
8. **Discretionary Trading Agreement** – Applicable if someone other than the applicant will control the trading of the account.
   - Page 1 - The Power of Attorney
   - Page 2 – Special Notice
   - Page 3 – Third Party Account Controller Acknowledgement (also requires execution by the account controller). If the account controller is a registered CTA, this page will not apply. However, you must then provide us with a copy of an Acknowledgment of Receipt of the CTA Disclosure Document AND the CTA fee payment authorization (CTA should have provided you with these forms).

Also Included:

A. **Funding Instructions** - Account numbers are not issued until funds are received and the account is set up, so ensure 'Pending New Account' is used if your bank presses for an account number. Please ensure funds are sent from your own bank account (we do not accept third party funding).
B. **Account Transfer Form** – Applicable if funds and/or positions are to be transferred from another form. Applicants should execute the form and send to their current firm.
C. **Risk Disclosure for Joint Bank Accounts** – Applicable if you desire to open an Individual Account yet fund the account from a joint spousal bank account.