

GAIN CAPITAL GROUP, LLC
CUSTOMER ACCOUNT APPLICATION

INDICATE TYPE OF ACCOUNT

☐ Individual ☐ Sole Proprietorship ☐ Joint Tenants ☐ Discretionary ☐ Non Discretionary

Account Title _____ Social Security # _____

Account Mailing Address _____ Telephone _____ Fax # _____ E-mail Address for Statements _____

City _____ State _____ Zip Code _____ Country _____

Name *(Indicate beneficial owner if different from Account Title)* _____ Date of Birth _____ Marital Status _____
Married _____ Single _____

Home Address *(If different from Mailing Address)* _____ If married, Spouse's full name _____

City _____ State _____ Zip Code _____ Home Telephone Number _____

Current Employer *(Indicate if retired, and list last occupation)* _____ Years Employed _____

Address _____ Business Telephone Number _____

City _____ State _____ Zip Code _____ Nature of Business _____ Job Title _____

Spouse's Employer *(Indicate if retired, and list last occupation)* _____ Years Employed _____

Address _____ Business Telephone Number _____

City _____ State _____ Zip Code _____ Nature of Business _____ Job Title _____

Years of Commodity Futures or Options Trading Experience _____ Years of Securities or Securities Options Trading Experience _____

Name of Brokerage Firms at which Customer(s) or Beneficial Owner(s) currently maintain or previously maintained an account.

_____ Account Number _____

_____ Account Number _____

_____ Account Number _____

Does any other person other than the customer control, manage or direct trading in this account? ☐ Yes ☐ No

If yes, who maintains the Power of Attorney? Name _____

Relationship to Customer _____

Note: If this is a discretionary account, please complete GAIN's discretionary forms.

Trading Objectives: ☐ Speculative ☐ Hedging If Hedging, what is the nature of your business? _____

If Hedge Account, indicate what commodities are to be hedged: _____

Does anyone else have a financial interest of 10% or more in or guarantee the account? ☐ Yes ☐ No

If yes, indicate whom and provide details: Name _____ Relationship _____

Do you or the beneficial owner have an interest in any other trading accounts with other firms? ☐ Yes ☐ No

If yes, indicate the name of the Firm and Account: _____

Do you currently have or have you previously had any unsatisfied debit balances at a brokerage firm? ☐ Yes ☐ No

If yes, indicate the name of the Firm and provide details: _____

Have you ever been a party to any litigation, arbitration or reparations proceeding against any brokerage firm ☐ Yes ☐ No

Has Customer currently, or within the last ten years, been involved in any investigations or court proceedings (including bankruptcy) involving any governmental or regulatory agency or private party? ☐ Yes ☐ No If yes, please explain: _____

Is the Customer or an immediate family member:

A member of the National Futures Association or any Exchange? ☐ Yes ☐ No

Registered with the CFTC, NFA, SEC or NASD? ☐ Yes ☐ No

A principal or employee or related to any employee of any brokerage firm, CFTC, NFA or any Exchange? ☐ Yes ☐ No

If yes, please provide details: _____

GAIN requires financial statements from its customers to open a commodity trading account.
Customers with no financial statements must complete the following confidential financial statement:

Liquid Assets:

Cash and cash equivalents \$ _____
Marketable Securities \$ _____
Other Liquid Assets (Explain) \$ _____
Total Liquid Assets \$ _____

Short Term Liabilities:

Accounts Payable \$ _____
Loans/Notes Payable \$ _____
Other Short Term Liabilities (Explain) \$ _____

Other Assets:

Non Marketable Securities \$ _____
Notes and Receivables \$ _____
Cash value life insurance \$ _____
Real Estate (principal residence) \$ _____
Real Estate (excluding home) \$ _____
Other Assets (Explain) \$ _____

Long Term Liabilities:

Real Estate Mortgages \$ _____
Notes Payable \$ _____
Income taxes payable \$ _____
Other taxes payable \$ _____
Other liabilities (Explain) \$ _____

TOTAL ASSETS \$ _____

TOTAL LIABILITIES \$ _____

NET WORTH \$ _____
(Total Assets less Total Liabilities)

Current Annual Income:

___ \$100,000 or over ___ \$75,000 - \$100,000 ___ \$50,000-\$75,000 ___ \$25,000 - \$50,000 ___ under \$25,000 (Please Specify)\$ _____

Bank References:

| Name of Bank | Address (City/State) | Telephone | Account Number |
|--------------|----------------------|-----------|----------------|
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |

The undersigned warrants and represents to Gain Capital Group, LLC ("GAIN") that the Application and Financial Statement completed above are true and correct, until written notice of material changes is delivered to GAIN.

The undersigned authorizes GAIN to make whatever credit inquiries it deems necessary in connection with the undersigned's account application, or in connection with transactions in the undersigned's account with GAIN. The undersigned authorizes any person or consumer reporting agency to compile and furnish to GAIN any information it may have or obtain in response to such credit inquiries, and agrees that such information shall remain GAIN's property whether or not an account is opened.

Title of Account _____ Date _____

Customer Signature _____

REQUEST FOR TAXPAYER IDENTIFICATION NUMBER / CERTIFICATE OF FOREIGN STATUS

Under penalties of perjury, I certify that:

Enter Taxpayer Identification Number _____ - _____ - _____

1. The number shown on this form is my correct taxpayer identification number (or, if marked "applied for"), I am waiting for a number to be issued to me), and (2) I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding.

OR

2. I am not a U.S. Citizen or U.S. Resident and I have not been, and do not plan to be, in the U.S. for more than 183 days during any calendar year and am not engaged, and do not plan to be engaged during the year, in a U.S. Trade or business that has effectively connected gains from Broker transactions or my country has a tax treaty with the U.S. that exempts transactions from U.S. taxes. _____ (Initial please)

Signature _____ Date _____