

## GAIN CAPITAL GROUP, LLC

### NFA RULE 2-30 ADDITIONAL RISK PROCEDURE

FOR ANY CUSTOMER WHO:

- a) Is retired and/or has less than one year of commodity trading experience; or
- b) Has an annual income of 25,000 or less; or
- c) Has a net worth of 25,000 or less; or
- d) Has less than one year of commodity trading experience.

YOU MUST EITHER:

- 1) CALL THE CUSTOMER, READ AND EXPLAIN PARAGRAPHS 1 AND 2 BELOW AND SIGN AS THE BROKER OR
- 2) GIVE THIS DOCUMENT TO THE CUSTOMER AND THE CUSTOMER MAY READ IT AND ACKNOWLEDGE IT BY SIGNING BELOW.

THEN SUBMIT THE COMPLETED FORM WITH THE CUSTOMER'S OPENING ACCOUNT DOCUMENTATION.

- 1) You should be aware that the risk of loss in trading commodity futures or options contracts can be substantial. You may sustain a total loss of your initial margin funds and any additional funds that you deposit to establish or maintain a position. In addition, market conditions may be such that your account can incur a negative balance. In this event, you will be liable for any deficit in your account. You should also be aware that the exercise of a long option contract or the assignment of a short option contract will result in a futures position.
- 2) You should study future trading and consider all of your financial obligations in determining whether the trading of commodity futures or options is appropriate for you. Since the risk factor is high, only genuine "risk funds" should be used.

\_\_\_\_\_  
Print Customer Name

I certify that I contacted the above Customer and read paragraphs 1 and 2 to the customer on the date shown.

\_\_\_\_\_  
Broker Name

\_\_\_\_\_  
Broker Signature

\_\_\_\_\_  
Date

The undersigned Customer acknowledges that he or she received, read and understood the above additional risk disclosure.

\_\_\_\_\_  
Customer Signature