



# ADVANTAGE FUTURES

231 S. LaSalle St., Suite 1400  
Chicago, IL 60604  
312.800.7000  
www.AdvantageFutures.com

## INDIVIDUAL CLIENT ACCOUNT APPLICATION

### Personal Information

Date of Application \_\_\_\_\_

First Name	Middle Name	Last Name	Date of Birth	
Social Security Number/ Tax ID	Primary E-Mail	Secondary E-Mail		
Primary Phone <input type="checkbox"/> Office <input type="checkbox"/> Home <input type="checkbox"/> Cell	Secondary Phone <input type="checkbox"/> Office <input type="checkbox"/> Home <input type="checkbox"/> Cell			
Client Address	City	State/Province	Zip	Country
<input type="checkbox"/> U.S. <input type="checkbox"/> Resident Alien, Country Residing _____		<input type="checkbox"/> Non-Resident Alien, Country of Birth _____ <small>If you are a non-resident alien, please submit a W-8BEN</small>		

### Employment Information

<input type="checkbox"/> Employed	<input type="checkbox"/> Self-Employed	Occupation _____		
<input type="checkbox"/> Not Employed	<input type="checkbox"/> Retired	Source of Income _____		
Employer		Phone		
Employer Address	City	State/Province	Zip	Country

### Financial Information

Annual Income		Net Worth (Excluding residences and retirement funds)		
<input type="checkbox"/> < \$25,000, please specify exact amount \$ _____	<input type="checkbox"/> < \$50,000, please specify exact amount \$ _____	<input type="checkbox"/> \$50,000 - \$99,999	<input type="checkbox"/> \$500,000 - \$1,000,000	
<input type="checkbox"/> \$25,001 - \$50,000	<input type="checkbox"/> \$50,001 - \$100,000	<input type="checkbox"/> \$100,000 - \$249,999	<input type="checkbox"/> \$1,000,001 +	
<input type="checkbox"/> \$100,001 +		<input type="checkbox"/> \$250,000 - \$499,999		
Commercial Bank Reference - Bank Name		Name on Bank Account		
Account Number	Contact Name	Contact Phone		
Bank Address	City	State/Province	Zip	Country

## INDIVIDUAL CLIENT ACCOUNT APPLICATION

Yes  No Are you married?

How many dependents do you have, excluding yourself? \_\_\_\_\_

Yes No Do you understand futures trading?

Yes No Do you understand the risk of loss in futures trading?

Yes No Do you understand the possibility of incurring a loss greater than the funds in your account?

Yes No Do you understand Advantage's margin policy as described in the client agreement?

Yes No Is trading of futures suitable for you?

Yes No Is trading of options on futures suitable for you?

Yes No Do you have previous experience trading futures?

If yes, number of years \_\_\_\_\_

Yes No Do you have previous experience trading options on futures?

If yes, number of years \_\_\_\_\_

Please list firms currently or previously used for futures, options on futures, or securities

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Yes No Do you hold memberships in any Commodity or Securities Exchanges?

If yes, please list \_\_\_\_\_

Yes No Are all funds you will deposit in this account your own?

If you answer yes to any of the following questions, please provide additional information in the box below the questions:

Yes No Will any person or entity other than you have a financial interest in this account?

Yes No Will there be any outside investors in your account?

- Yes  No Do you have 10% or greater financial interest in any futures accounts at Advantage?  
If yes, list account name(s)/number(s) \_\_\_\_\_
- Yes  No Do you control any other futures account(s) at Advantage?  
If yes, list account name(s)/number(s) \_\_\_\_\_
- Yes  No Are you registered with the Commodity Futures Trading Commission and/or a member of  
the National Futures Association?
- Yes  No Are you related to any person associated with or employed by Advantage?  
If yes, describe briefly \_\_\_\_\_
- Yes  No Are you currently, or were you within the past three years, a member, partner, officer or  
employee of any brokerage firm, commodity or securities exchange or regulatory agency?
- Yes  No Have you ever been in a legal dispute or involved in arbitration or litigation arising from  
unresolved matters with futures or securities brokers or brokerage firms?
- Yes  No Have you ever been subject to federal or state bankruptcy proceedings, receivership or  
similar proceedings (voluntary or involuntary)?
- Yes  No Do you have any unsatisfied debit balance(s) with Advantage or any other commodities or  
securities firm?

**Further Information**

**Statement Delivery**

I hereby acknowledge and consent that all confirmation of trades, statements of account and monthly statements (collectively "Account Statements") will be transmitted electronically. Account Statements should be transmitted no later than the next business day after a transaction has been effected. In event of a disruption in the ability of Advantage Futures LLC to transmit Account Statements by electronic means, Advantage Futures LLC reserves the right to transmit Account Statements by any means that it reasonably deems appropriate, including by facsimile or regular mail. My consent will be deemed effective until further notice is given. This consent may be revoked at any time by written notice to Compliance@AdvantageFutures.com.

I acknowledge and consent to electronic Account Statements delivery

E-mail to send Account Statements \_\_\_\_\_  
to:(list all e-mails that apply)

**Who will be trading your account?**

Account owner

Third party trading manager

Account owner and third party trading manager

Name of third party trading manager (if applicable) \_\_\_\_\_  
(Managed account forms need to be completed)

**Does your trading qualify as bona fide hedge transactions as defined under CFTC Rule 1.3?**

Yes

No

If you replied yes, CFTC Rule 190.06(d) requires Advantage Futures LLC ("Advantage") provide you the opportunity to specify, in the unlikely event of Advantage's bankruptcy, whether you prefer the trustee automatically liquidate open commodity contracts held in your bona fide hedge account or the trustee request instructions from you concerning your preferred disposition of open contracts by transfer or liquidation. Please check applicable box. If neither is checked, you will be deemed to have elected to have all positions liquidated. This instruction may be changed at any time by written notice to Advantage.

Liquidate all open commodity contracts without first seeking instructions from or on behalf of Client.

Attempt to obtain instructions with respect to the disposition of all commodity contracts.

**Please Read and Acknowledge Below**

I fully understand trading in futures contracts, options on futures, foreign exchange transactions, trading physical or cash commodities, and exchange for physicals ("EFP"), or any other transaction Advantage Futures LLC ("Advantage") executes or clears on my behalf involves volatile markets subject to sharp price fluctuations which may result in the loss of capital greater than the amount of capital contained in my account. I understand on certain trading days, trading may be halted to my financial disadvantage. I affirm to be willing and financially able to assume the risks to which my capital will be exposed. I hereby authorize Advantage at any time to make inquiries, including with banks or any credit agency, for purposes of verifying information contained in this Application or otherwise supplied to Advantage. Further, I understand if Advantage discovers any adverse information that bears on my credit worthiness or questions the legality, soundness or ethics of my business dealings, Advantage may refuse to accept or continue to keep me as a client.

**BY SIGNING BELOW, I REPRESENT AND WARRANT TO ADVANTAGE FUTURES LLC THE FOREGOING INFORMATION CONTAINED IN THIS CLIENT ACCOUNT APPLICATION AND ANY INFORMATION SEPARATELY PROVIDED TO THE FIRM IS TRUE, CORRECT, ACCURATE, AND COMPLETE. I AGREE TO NOTIFY ADVANTAGE FUTURES LLC IN THE EVENT ANY INFORMATION CONTAINED IN THIS APPLICATION OR SEPARATELY PROVIDED HEREWITH CHANGES.**

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

Signature \_\_\_\_\_ Date \_\_\_\_\_

## Acknowledgement of Execution Services

As a courtesy for clients, Advantage Futures LLC ("Advantage") has made arrangements with one or more other registered FCMs ("Order-Taking FCM") to provide client access to a global 24-hour execution service. This service is operated by personnel from the Order-Taking FCM, not Advantage personnel. Because some electronic trading systems only accept orders that specify a limit price or do not accept contingent orders, and because the possibility of electronic trading system failures or unavailability, and Exchange actions beyond the Order-Taking FCM's control always exist, be advised all orders placed with or submitted through, such global 24-hour execution service will be accepted only on a "not-held basis," meaning that neither Advantage nor the Order-Taking FCM assumes any liability for any failure of order entry, execution, or cancellation of an order or for any errors arising at, or related to, a 24-hour execution service, except error due to willful misconduct or gross negligence.

By signing below, you are confirming you have read, understand and accept the above.

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

Signature \_\_\_\_\_ Date \_\_\_\_\_

## Authorization to Transfer Funds

Advantage Futures LLC ("Advantage") is authorized and directed, at any time and from time to time, without prior notice to Client, to transfer from one account of Client to another account of Client carried by Advantage (including transfers between regulated and non-regulated accounts) such excess funds, equities, securities or other property as in Advantage's judgement may be required for margin, or to reduce any debit balance or to reduce or satisfy any deficits in such accounts, provided such transfer is not in conflict with the Commodity Exchange Act or other regulations promulgated there under. Notices of all transfers of funds made pursuant hereto shall be promptly confirmed in writing to the Client.

By signing below, you are confirming you have read, understand and accept the above.

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

Signature \_\_\_\_\_ Date \_\_\_\_\_

## Consent to Take the Other Side of an Order

Client hereby agrees that without prior notice from Advantage Futures LLC ("Advantage"), when Advantage executes, sells or buys orders on Client's behalf, Advantage, its directors, officers, employees, agents affiliates and any floor broker may buy or sell for an account in which any such person has a direct or indirect interest, subject to the limitations and conditions, if any, contained in the by-laws, rules or regulations of the exchange or board of trade upon which such buy or sell orders are executed, and subject to the limitations and conditions, if any, contained in any applicable regulations lawfully promulgated by the Commodities Futures Trading Commission.

By signing below, you are confirming you have read, understand and accept the above.

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

Signature \_\_\_\_\_ Date \_\_\_\_\_