

The following are steps to help guide you through the process:

Page 2: Fill in the blanks and answer the questions up through the Country field under the “Financial Information” section. If you are planning on doing Wire transactions instead of ACH Transactions, please complete the entire page.

Page 3: Answer the questions pertaining to your past trading experience. If there is a joint owner on the account, have them complete the remainder of the page with their information.

Page 4: Check the Yes/No boxes for each question under the additional information section.

Please specify if you wish to receive your statements electronically or mailed AND if you would like to include any additional recipients for duplicate statements. Then Sign your name in the Signature 1 Box, Print Name, and Date. Please note, there is a \$1.50 fee for each hard copy statement that is issued.

Page 14: All account holders must Sign Name, Print Name & Date this page to confirm to the terms of this customer agreement.

Page 19: Check the top box “Attempts to contact the undersigned for instructions...”. Next, fill in the specific commodities that you will be hedging. Under Justification write “Farming”, then Sign name in the Signature 1 Box, Print name & Date.

Page 22: Check each box AND INITIAL confirming your acknowledgement of each disclosure document pertaining to your trading account. Sign your name in the Signature 1 Box, Print name and Date.

Page 23: Complete W-9 and Sign and date.

**** Next is the ACH Authorization Form that needs to be filled out to process Incoming and Outgoing ACH cash transactions to and from your trading account electronically. These transactions will ONLY be processed with your approval first. Check the “Initial Authorization Box”. Fill in your bank information within the middle of the page and then Sign and print your name at the bottom. **We will also need a copy of a VOIDED check pertaining to the bank account that you list.**

If you have any questions, please do not hesitate to let us know.

Thank you and we look forward to doing business with you soon!

INDIVIDUAL, JOINT, OR SOLE PROPRIETORSHIP

Account Rep	
Office Code	Sales Code

All fields must be completed. Please indicate N.A if it is not applicable.

Customer Name

Sole Proprietorship Name

Joint Owner

Account Designation Hedge Speculative

If Joint Tenants In Common

Right of Survivorship Discretionary under Power of Attorney

CUSTOMER

Address

City State/Province Zip Country

Date of Birth SSN / Tax ID # Country of Citizenship Marital Status

Number of Dependents Home Telephone # Cell Phone # Single Married Other

Fax # Email Occupation

Employer Nature of Business Work Address

City State Zip Country

Individual Owner / Sole Proprietorship Financial Information

Annual Income Liquid Assets Net Worth

Primary Bank Name Contact Person Telephone #

Address

City State Zip Country

SWIFT/Routing Number Account Number Further Credit Account Number (if applicable)

Intermediary Bank Name (if applicable) Contact Person Telephone #

Address

City State Zip Country

SWIFT/Routing Number

Trading Experience - (check all that apply)

Years of experience:

a. Futures _____

b. Options on Futures _____

a. Foreign Exchange _____

a. Securities/Bonds _____

List firm where you have traded and if the account(s) is active.

1. _____

2. _____

3. _____

Active

JOINT OWNER

Address

City _____ State/Province _____ Zip _____ Country _____

Date of Birth _____ SSN / Tax ID # _____ Country of Citizenship _____ Marital Status _____

Number of Dependents _____ Home Telephone # _____ Cell Phone # _____

 Single

 Married

 Other

Fax # _____ Email _____ Occupation _____

Employer _____ Nature of Business _____ Work Address _____

City _____ State _____ Zip _____ Country _____

Joint Owner Financial Information

Annual Income _____ Liquid Assets _____ Net Worth _____

References

Bank Name _____ Contact Person _____ Telephone # _____

Address

Trading Experience - (check all that apply)

Years of experience:

a. Futures _____

b. Options on Futures _____

a. Foreign Exchange _____

a. Securities/Bonds _____

List firm where you have traded and if the account(s) is active.

1. _____

2. _____

3. _____

Active

ADDITIONAL INFORMATION

1. Does any other person or entity have any direct or indirect ownership in the entity opening this futures account? If Yes, list name(s) and ownership(s): Yes No

2. Does Applicant(s) control the trading in any other Straits Financial LLC account? If Yes, please list Names & Account Numbers: Yes No

3. Is Applicant(s) regulated by any financial services government regulators? If Yes, please specify: Yes No

4. Is Applicant(s) or any of its Principals or Affiliates presently a Member of any Exchange? If Yes, list Exchanges and Membership type(s): Yes No

5. Will the account be Traded or Managed by anyone else under Power of Attorney? If Yes, Please list Power of Attorney and complete enclosed POA documents: Yes No

6. Does Applicant(s) have or ever had any litigation, arbitration, disputed accounts, unpaid debit balances or unresolved matters with any futures or securities brokers or foreign currency dealers or has bankruptcy been filed? If Yes, please provide details in a separate attachment. Yes No

MODE OF DELIVERY FOR TRADE AND MONTHLY STATEMENTS

Unless you specifically choose hard copy mailed statements, all Trade and Monthly Statements and any correspondence from Straits will be sent to you via the email address listed on this application. **You may revoke your consent to receive statements electronically at any time.** A processing charge will apply to hard copy mailings at a rate of \$1.50 per mailed paper statement.

Please check one: Electronic Hard Copy

Send Duplicate Statements to: Name Relationship to Applicant(s) Email

Address City

State Zip Country

PLEASE READ AND SIGN BELOW

ALL ACCOUNT HOLDERS MUST SIGN

THE UNDERSIGNED APPLICANT(S) CONFIRMS TO STRAITS FINANCIAL LLC THAT THE FOREGOING INFORMATION CONTAINED IN THIS APPLICATION FORM AND ANY INFORMATION SEPARATELY PROVIDED HEREWITH IS TRUE AND CORRECT. THE APPLICANT(S) AGREES TO NOTIFY STRAITS FINANCIAL LLC IN THE EVENT THAT THE INFORMATION CONTAINED IN THIS APPLICATION FORM OR SEPARATELY PROVIDED HEREWITH CHANGES.

Signature 1

X

Print Name

Title (if applicable) Date

Signature 2

X

Print Name

Title (if applicable) Date

31. Amendments.

This Agreement shall only be amended or modified in a written instrument signed by an authorized officer of Straits. Straits may unilaterally amend this Agreement by providing at least seven days advance notice to Customer. Customer agrees to, and accepts any amendments made by Straits and delivered to Customer unless Customer informs Straits of Customer's non-acceptance of the amendments within seven days of receipt.

32. Assignment.

This Agreement is not assignable by Customer. Subject to Applicable Law, Straits may assign this Agreement without Customer's prior consent.

33. Notice.

All communications, reports, statements, monies, securities, negotiable instruments, and other property shall be mailed or otherwise transmitted to Customer at Customer's account mailing address as shown on the Agreement or to such other address as may have been designated in writing, and all communications so sent shall be deemed received by Customer personally at the time so sent whether actually received or not.

34. Jurisdiction & Waiver of Jury Trial.

Customer hereby acknowledges and agrees that this Agreement is deemed made in the State of Illinois. Subject to the terms of any applicable arbitration agreement between Customer and Straits, Customer hereby submits and consents to the exclusive jurisdiction of the state and federal courts located within Chicago, Illinois. **CUSTOMER HEREBY WAIVES TRIAL BY JURY IN ANY SUCH ACTION OR PROCEEDING.** If Customer has agreed that any controversy arising out of this Agreement shall be arbitrated, Customer agrees the arbitration shall be conducted in Chicago, Illinois.

35. Customer Funds Held Outside the US.

By depositing funds directly into a Straits Customer Segregated or Customer Secured bank account held outside of the United States, Customer acknowledges and authorizes that Customer funds may be held at such depository within such non-U.S. country.

36. Bunched Orders; Average Pricing.

Customer consents to having its discretionary orders bunched for execution with discretionary orders of other customers. Customer further consents to having its trade executions average priced with the trade executions of the other orders included in the bunched order. Customer understands the average price may not be the actual execution price.

THE UNDERSIGNED CUSTOMER HAS REVIEWED AND HEREBY AGREES TO THE TERMS OF THIS CUSTOMER AGREEMENT.

All account holders must sign.

Signature 1
X

Signature 2
X

Print Name

Print Name

Title (if applicable)

Date

Title (if applicable)

Date

HEDGE AGREEMENT

Unless specified in writing to the contrary, Customer represents, warrants and covenants that all orders and transactions for the purchase or sale of any of the following commodities, commodity futures, and option contracts for Customer's account are "hedging" transactions and positions as defined in Commodity Futures Trading Commission Regulation 1.3(z), as that regulation currently exists and as it may hereafter be amended. These transactions are not for speculation.

Customer represents and warrants to Straits that Customer is familiar with all laws, rules and regulations concerning hedging. Customer understands that this hedge agreement must be terminated, if at all, in writing. CFTC Regulations require that Straits provide an opportunity for Customer to specify when entering into its first hedging transaction whether, in the event of Strait's insolvency, the Customer prefers that open commodity contracts held in a hedging account be liquidated by the trustee. Thus, Customer must indicate below Customer's preference if such an unlikely event were to occur.

Customer prefers that, in the unlikely event of Straits' insolvency, the trustee:
(check one)

- Attempts to contact the undersigned for instructions as to the disposition of the open contracts in the indicated hedge account
- Liquidates open commodity contracts in the undersigned's hedge account without seeking instructions.

Commodities to be traded in this account for bona fide hedging purposes only, include (list all that apply):

Commodity	Economic Justification
_____	_____
_____	_____
_____	_____

All account holders must sign.

<p>Signature 1</p> <p>X</p>

Print Name

Title (if applicable) Date

<p>Signature 2</p> <p>X</p>

Print Name

Title (if applicable) Date

DISCLOSURE BOOKLET ACKNOWLEDGEMENT

Read through the Straits Financial LLC Disclosure Booklet and acknowledge all disclosure statements by initialing the corresponding boxes and signing below. Please retain a copy of the disclosure booklet and this acknowledgement for your records.

DISCLOSURE BOOKLET TABLE OF CONTENTS

<input type="checkbox"/>	Risk Disclosure Statement For Futures and Options	page 2
<input type="checkbox"/>	Disclosure of Futures Commission Merchant Material Conflicts of Interest	page 4
<input type="checkbox"/>	Disclosure Statement For Non-Cash Margin	page 4
<input type="checkbox"/>	Electronic Trading and Order Routing Systems Disclosures	page 5
<input type="checkbox"/>	Futures Cross Trade Consent	page 5
<input type="checkbox"/>	Foreign Trader Disclosure Statement	page 6
<input type="checkbox"/>	Position Limit and Large Open Position Reporting Requirements For Options And Futures Traded On Hong Kong Exchanges	page 7
<input type="checkbox"/>	Notice to Customers: Exchange For Related Positions	page 8
<input type="checkbox"/>	Standards of Market Conduct Guidelines	page 9
<input type="checkbox"/>	Foreign Board Of Trade Agreement for US Customers	page 10
<input type="checkbox"/>	Singapore Client Disclosure (Does not apply to US customers)	page 10
<input type="checkbox"/>	NFA Investor Advisory - Futures on Virtual Currencies Including Bitcoin	page 11
<input type="checkbox"/>	Customer Advisory: Understand the Risks of Virtual Currency Trading	page 12
<input type="checkbox"/>	General Data Protection Regulation (GDPR) Privacy Notice	page 13
<input type="checkbox"/>	Privacy Policy	page 17

CUSTOMER ACKNOWLEDGEMENT

The undersigned Customer acknowledges and accepts the above initialed disclosure statements.

All account holders must sign

Signature 1
X

Print Name

Title (if applicable)

Date

Signature 2
X

Print Name

Title (if applicable)

Date

Form **W-9**
(Rev. October 2018)
Department of the Treasury
Internal Revenue Service

Request for Taxpayer Identification Number and Certification

▶ Go to www.irs.gov/FormW9 for instructions and the latest information.

**Give Form to the
requester. Do not
send to the IRS.**

Print or type. See Specific Instructions on page 3.	<p>1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.</p>	
	<p>2 Business name/disregarded entity name, if different from above</p>	
	<p>3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only one of the following seven boxes.</p> <p><input type="checkbox"/> Individual/sole proprietor or single-member LLC</p> <p><input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ▶ _____</p> <p>Note: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is not disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.</p> <p><input type="checkbox"/> Other (see instructions) ▶ _____</p>	<p>4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):</p> <p>Exempt payee code (if any) _____</p> <p>Exemption from FATCA reporting code (if any) _____</p> <p><small>(Applies to accounts maintained outside the U.S.)</small></p>
	<p>5 Address (number, street, and apt. or suite no.) See instructions.</p>	Requester's name and address (optional)
	<p>6 City, state, and ZIP code</p>	
	<p>7 List account number(s) here (optional)</p>	

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

Note: If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number											
				-			-				
or											
Employer identification number											
				-							

Part II Certification

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
- 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 (IRS) 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; and
- I am a U.S. citizen or other U.S. person (defined below); and
- The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

Sign Here

Signature of
U.S. person ▶

Date ▶

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to www.irs.gov/FormW9.

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

- Form 1099-INT (interest earned or paid)

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.



Date: _____

- Initial Authorization – Complete bank information.
- Revised Authorization – Complete bank information.
- Rescind Authorization – Sign at bottom of letter only.

To Whom It May Concern:

This letter authorizes Straits Financial LLC (“SF LLC”) to initiate ACH transactions to withdraw funds from the following bank account for deposit in to my trading account with SF LLC. My banking information is as follows. **A copy of a blank or voided check is attached as well to verify account ownership:**

Account Name: _____

Trading Account Number: _____

Bank Name: _____

Bank ACH Routing #: _____ (on the bottom of a check)

Bank Account #: _____

I understand that either my broker or I will need to remit a request each time to treasury@straitfinancial.com to initiate such transactions, and that I need to maintain sufficient funds in this account to cover such requests when processed by the bank. Furthermore, I understand that by signing this authorization and agreeing to the above stipulations, SF LLC can credit the funds to my SF LLC trading account on the day that the transaction is initiated by them in the banking system.

This authorization will remain in effect until either modified or rescinded by the customer or until I close my trading account with SF LLC. In order to modify or rescind this authorization, I acknowledge that a new authorization will need to be provided to SF LLC via email at treasury@straitfinancial.com .

Thank you,

X _____

X _____

Print Name – Customer

Print Name & Title – SF LLC Personnel

ADDITIONAL RISK DISCLOSURE STATEMENT GUIDELINES

When opening a customer account which meets one or more of the criteria below, then an additional risk disclosure must be provided to the customer. This disclosure must be signed and returned with the account opening documents. Please check off any criteria applicable to the customer account below. In addition to the factors below, Straits Financial LLC ("Straits") may review account applications on a case by case basis for the purpose of determining if an additional risk disclosure is necessary. If you have any concerns or questions about issuing an additional risk disclosure, please contact an individual in Straits' Compliance or New Accounts Department.

Individual or Joint Accounts

1. Individual or joint applicants have less than six (6) months of combined (if applicable) trading experience over all categories listed within the account application.
2. Annual Income less than \$25,000.
3. Liquid Assets less than \$25,000.
4. Net Worth less than \$50,000.

Corporate Accounts

1. Annual Income less than \$50,000.
2. Liquid Assets less than \$50,000.
4. Net Worth less than \$100,000.

ADDITIONAL RISK DISCLOSURE STATEMENT

Straits is providing you with an additional risk disclosure before you open a commodity future and option trading account to ensure the risks associated with trading are fully understood.

Only risk capital should be used when depositing funds into your trading account. Risk capital is money that can be lost without jeopardizing ones financial security or lifestyle. Leverage is used in futures trading. The high degree of leverage that is obtainable in futures trading because of the small margin requirements can work against you as well as for you. The use of leverage can lead to large losses as well as gains.

Straits recommends that you fully review the risk disclosure statement within the customer agreement and discuss any concerns with your Straits Representative or Introducing Broker. Additionally, these individuals can answer questions about futures and options trading and direct you to educational information.

By signing below you acknowledge that the funds you have committed are purely risk capital and loss of your investment will not jeopardize your style of living nor will it detract from your future retirement program. Additionally, you fully understand the nature and risks of futures and options investments and have thoroughly read and understood all risk disclosure statements.

I hereby acknowledge that I have received and understood this risk disclosure statement.

All account holders must sign.

<p>Signature 1</p> <p>✕</p>

Print Name

Title (if applicable)

Date

<p>Signature 2</p> <p>✕</p>

Print Name

Title (if applicable)

Date