

New Account Checklist (for a Gain Capital trading account)

In order to become a trading client, you will need to complete and submit an application.

Hedge or Speculative Account?

To qualify for a hedge account, the client must produce the commodity that they wish to hedge. Otherwise, the trader would apply for a speculative trading account.

- For example, if a farmer/producer grows corn and soybeans and uses crude oil for energy purposes; this client could open a trading account to hedge corn and soybeans, but NOT crude oil. Adequate documentation will be required in order to be approved for a hedge account.

There are several different types of accounts a new client can apply for.

- Individual Trading Account** (*for the individual trading client*)-this application takes approximately 10-15 minutes to complete. Before beginning the application process, be sure to have available your personal, financial and objective/trading experience information.
- Joint Trading Account** (*allows two clients to share a trading account*)-this application takes approximately 15-20 minutes to complete. Each applicant will complete their own personal information on the application. Before beginning the application process, be sure to have available your personal, financial and objective/trading experience information. You will also need to know who the primary trader will be and if there will be a secondary trader on the account.
- Partnership Trading Account** (*allows a legally registered group of people to trade as a partnership*)-this application takes less than 30 minutes to complete. Before beginning the application process, be sure to have available your personal, financial and objective/trading experience information. You will also need general information regarding the partnership, a list of general partners, partnership financial information and a taxpayer ID #. Once the application is under review, you may be required to send in additional documents relating to the partnership.
- Corporate Trading Account** (*allows a LLC or corporation to have a trading account*)-this application takes approximately 30 minutes to 1 hour to complete. Before beginning the application process, be sure to have available the legal name of the entity, place of business, taxpayer ID number, investment objectives, financial standing of the entity. Once your application is under review, you will be asked to submit Corporate or LLC Resolutions, Certificate of Formation, Partnership Agreement, Articles of Incorporation or Operating Agreement, Corporate Questionnaire, Stock Certificates issued and stock register; to list a few of the required items.
- Trust Trading Account** (*allows a trust and its benefitters to trade*)-this application takes approximately 30 minutes to 1 hour to complete. Before beginning the application process, be sure to have the legal name of the trust, principal place of trust and taxpayer

ID number, list of all trustees, trust financial information (net worth, current annual income, bank references, etc), and trading experience. Once the trading application is under review, you will be asked to submit a fully executed trust agreement, address verification for the trust and the trustee(s) and a list of authorized traders and their email addresses; to list of few of the required items.

Once your application has been completed and submitted, you will receive an email from us, Grain Hedge, letting you know your application is under review including requests for any further information or documents needed to complete the initial review. At this time, you will begin receiving our daily grain commentary emails as well as our daily Technical Alerts.

Once your application has been approved, you will receive an email from us with funding instructions for your new trading account. After your funds have been received and posted at Gain Capital, you will be assigned an account number and account credentials.

We will then email you with your account credentials, your trading platform link, your mobile trading links and educational material to get you started.

Sub Account Information-

Account Function: Many trading clients want to open a speculative account in addition to their hedge account. By opening a sub-account, the client would have capability to not only hedge contracts on his original trading account, but also have a speculative account for additional commodity trading.

Starting a Sub Account: in order to open a sub-account, the client must fill out and sign a sub-account declaration form. This will be submitted for review to Gain Capital. Once approved, the client can fund the new speculative account by either making a transfer from their main trading account or with a wire or check.