

FOR OFFICE USE ONLY

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Office / Sales Code / Account Number

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Commission

# ACCOUNT APPLICATION

(Please type, or print legibly and fully in ink)

FOR OFFICE USE ONLY

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Review Date

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New Account  Update

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IB Approval

SSF Risk Disclosure provided on: \_\_\_\_\_  
 SSF Risk Disclosure provided via:  U.S. Mail  E-Mail

Legal Account Name: \_\_\_\_\_

Account Owner(s): \_\_\_\_\_

Social Security / Fed. ID#: \_\_\_\_\_ Date of Birth \_\_\_\_\_ or formation of business entity: \_\_\_\_\_ # of Dependents: \_\_\_\_\_

Permanent street address is required (no P.O. Boxes): \_\_\_\_\_  
 Street Address City State Zip+4 Home E-mail

Mailing Address (if different from above): \_\_\_\_\_  
 Street Address City State Zip+4

Daytime Phone: \_\_\_\_\_ Home Phone: \_\_\_\_\_ Fax Phone: \_\_\_\_\_ Work E-mail: \_\_\_\_\_  
 Marital Status:  Married  Single  Divorced Are you a:  Speculator  Hedger U. S. Citizen:  Yes  No

Type of Account:  Individual/Joint  General Partnership  Limited Partnership  Corporate  Trust  Discretionary  IRA  LLC  LLP

Name and address of Employer: \_\_\_\_\_

Occupation/Position: \_\_\_\_\_ Nature of Business: \_\_\_\_\_ (If retired, please so indicate and list prior occupation)

Name of Broker/Contact who solicited you for this application: \_\_\_\_\_

**FINANCIALS**

**Annual Income:**

<input type="checkbox"/>	\$25,000 - \$50,000	<input type="checkbox"/>	\$50,000 - \$100,000
<input type="checkbox"/>	\$100,000 - \$200,000	<input type="checkbox"/>	\$200,000 - \$1,000,000
<input type="checkbox"/>		<input type="checkbox"/>	over \$1,000,000

**For Corporations: Attach a copy of most recent audited financial statement.**

**If under \$25,000,**

**Give amount & source:** \_\_\_\_\_

**Liquid Net Worth (excluding equity in home):**

<input type="checkbox"/>	\$5,000 - \$25,000	<input type="checkbox"/>	\$25,000 - \$50,000
<input type="checkbox"/>	\$50,000 - \$100,000	<input type="checkbox"/>	\$100,000 - \$250,000
<input type="checkbox"/>	\$250,000 - \$500,000	<input type="checkbox"/>	\$500,000 - \$1,000,000
<input type="checkbox"/>	\$1,000,000 - \$2,000,000	<input type="checkbox"/>	\$2,000,000 and Over

**Total Net Worth:**

<input type="checkbox"/>	\$5,000 - \$25,000	<input type="checkbox"/>	\$25,000 - \$50,000
<input type="checkbox"/>	\$50,000 - \$100,000	<input type="checkbox"/>	\$100,000 - \$250,000
<input type="checkbox"/>	\$250,000 - \$500,000	<input type="checkbox"/>	\$500,000 - \$1,000,000
<input type="checkbox"/>	\$1,000,000 - \$2,000,000	<input type="checkbox"/>	\$2,000,000 and Over

**Current Banking Information:**

Bank: \_\_\_\_\_  
 City: \_\_\_\_\_  
 Acct. #: \_\_\_\_\_

**Investment Experience:**

Futures	<input type="checkbox"/> Yes <input type="checkbox"/> No	# of years: _____
Commodity Options	<input type="checkbox"/> Yes <input type="checkbox"/> No	# of years: _____
Commodity Funds	<input type="checkbox"/> Yes <input type="checkbox"/> No	# of years: _____
Stocks/Bonds	<input type="checkbox"/> Yes <input type="checkbox"/> No	# of years: _____

*If yes, please list:*

Firm \_\_\_\_\_ Account  Open  Closed

Firm \_\_\_\_\_ Account  Open  Closed

Do You Have an Existing Securities Account?  Yes  No

Brokerage Firm: \_\_\_\_\_ Account Number: \_\_\_\_\_

Do you have any unsatisfied debit balance(s) with RJO or with any other commodities/securities firm?  Yes  No

Does any other person have authority to Trade this account?  Yes  No

Are you a "control person" or "affiliate" of a public company as defined in SEC Rule 144? This would include, but is not necessarily limited to, 10% shareholders, policy-making executives, and members of the Board of Directors.  No  Yes Company: \_\_\_\_\_

Are you an employee or member of any futures or securities exchange, NFA, NASD; a member firm of either of those entities or an employee of R. J. O'Brien?  Yes  No

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

Does this account owner control or have a financial interest in any other account with this firm?  Yes  No

*If yes, please list:* \_\_\_\_\_

Have you ever been subject to bankruptcy proceedings, receivership or similar actions, voluntarily or involuntarily?  Yes  No

*If yes, please list reason and date cleared:* \_\_\_\_\_

Have you ever been in a legal dispute or involved in arbitration proceedings, arising from a commodities or securities dispute?  Yes  No

**Do You Understand:**

Basics of Futures Trading?  Yes  No  
 Risks of Loss and the Possibility of Incurring a Debit?  Yes  No  
 RJO Margin Policy? (See Account Agreement, section 3)  Yes  No

Is Futures Trading Suitable for you?  Yes  No

**X** \_\_\_\_\_  
**Customer Signature** **Date**

Review Date

\_\_\_\_\_

\_\_\_\_ New Account \_\_\_\_ Update

Is this a Joint Account? Yes  No  (If YES, complete next section)

Type of Account:  Joint Tenants With Rights of Survivorship (JTWROS)  Joint Tenants in Common (JTIC)

**For Individual of Joint Account:**

Name: \_\_\_\_\_  
Date of Birth: \_\_\_\_\_ Social Security # \_\_\_\_\_  
Occupation: \_\_\_\_\_  
Employer Name and Address: \_\_\_\_\_  
Nature of Business or Industry: \_\_\_\_\_  
Home Telephone: \_\_\_\_\_  
Business Telephone: \_\_\_\_\_  
Facsimile Number: \_\_\_\_\_

**Liquid Net Worth (excluding equity in home):**

\$5,000 - \$25,000  \$25,000 - \$50,000  
 \$50,000 - \$100,000  \$100,000 - \$250,000  
 \$250,000 - \$500,000  \$500,000 - \$1,000,000  
 \$1,000,000 - \$2,000,000  \$2,000,000 and over

**Annual Income:**

\$25,000 - \$50,000  \$50,000 - \$100,000  
 \$100,000 - \$200,000  \$200,000 - \$1,000,000  
 over \$1,000,000

**Marital Status:**  Married  Single  Divorced

**Number of Dependents:** \_\_\_\_\_

**Total Net Worth:**

\$5,000 - \$25,000  \$25,000 - \$50,000  
 \$50,000 - \$100,000  \$100,000 - \$250,000  
 \$250,000 - \$500,000  \$500,000 - \$1,000,000  
 \$1,000,000 - \$2,000,000  \$2,000,000 and over

**Investment Experience:**

Futures:  Yes  No  # of Years  
Commodity Options:  Yes  No  # of Years  
Commodity Funds:  Yes  No  # of Years  
Stocks and Bonds:  Yes  No  # of Years

*If yes, please list:*

Firm \_\_\_\_\_ Account  Open  Closed  
Firm \_\_\_\_\_ Account  Open  Closed

**Do You Understand:**

Basics of Futures Trading?  Yes  No  
Risks of Loss and the Possibility of  
Incurring a Debit Balance?  Yes  No  
RJO Margin Policy? (See Account Agreement, Section 3)  
 Yes  No

Is Futures Trading Suitable For You?  Yes  No

**Current Banking Information:**

Bank: \_\_\_\_\_  
City: \_\_\_\_\_  
Account Number: \_\_\_\_\_

Do you Have an Existing Securities Account?  Yes  No

Brokerage Firm: \_\_\_\_\_ Account Number: \_\_\_\_\_

Do you have any unsatisfied debit balance(s) with RJO or with any other commodities/securities firm?  Yes  No

*If yes, please list:* \_\_\_\_\_

Are you an employee or member of any futures or securities exchange, NFA, NASD; a member firm of either of those entities or an employee of R.J. O'Brien?  Yes  No *If yes, please list:* \_\_\_\_\_

Are you a "control person" or "affiliate" of a public company as defined in SEC Rule 144? This would include, but is not necessarily limited to, 10% shareholders, policy-making executives, and members of the Board of Directors.  Yes  No  
Company: \_\_\_\_\_

Have you ever been subject to bankruptcy proceedings, receivership or similar actions, voluntarily or involuntarily?  Yes  No

*If yes, please list reason and date cleared:* \_\_\_\_\_

Have you ever been in a legal dispute or involved in an arbitration proceeding arising from a commodities or securities dispute?  
 Yes  No

X \_\_\_\_\_  
**Customer Signature** **Date**