

ROSENTHAL COLLINS GROUP

ACCOUNT OWNERSHIP IDENTIFICATION REQUEST

In November 2013, the U.S. Commodity Futures Trading Commission ("CFTC") finalized new rules for Ownership and Control Reporting ("OCR") which significantly expands the reporting requirements for US FCMs and their clients under CFTC Regulation Part 17 CFR 17.01(a), 17.01(b) and 20.5 (1). In accordance with these aforementioned requirements, Rosenthal Collins Group, LLC ("RCG") is required to obtain the following information with regard to ownership and control of your trading account(s) carried on RCG's books. This rule officially becomes effective in February 2015. Please complete the Ownership information below for each of your accounts. It is imperative that you provide this information to RCG promptly to ensure that RCG and its clients remain in compliance with the CFTC.

Account Name: _____ **Account Number:** _____

List ***each Owner**** of the trading account listed above (can be a separate legal entity or natural person) and provide the following information. **Note:** The CFTC is asking for only **direct owners** of the account(s). **If more than one Owner, copy and attach additional sheets for each additional Owner. All requested information is mandatory, if applicable.**

Account Owner:

Name: _____

Address of Owner: _____

Phone Number: _____ Email Address: _____

Owner NFA ID # (if any): _____ Occupation/Job Title: _____

Employer NFA ID # (if any): _____ Name of Employer: _____

Owner LEI Code (Legal Entity Identifier (if any)): _____

Employer LEI Code (Legal Entity Identifier (if any)): _____

If the Owner is a legal entity, please provide an individual contact name along with the following information:

Individual Contact Name: _____

Job Title: _____ Relationship to Owner: _____

Contact Employer Name: _____ Contact Employer NFA ID # (if any): _____

Contact Phone Number (direct number, without having to ask for a person or extension): _____

Contact Email Address: _____

Website Address of Entity (if any): _____

LEI Code (Legal Entity Identifier (if any)): _____

Do any other persons and/or entities control the trading of this account? (Such as a Third Party or CTA)

NO _____ YES _____

If YES please print the name of the person(s) or entity: _____

****"Owner" means a natural person or entity with direct ownership of 10% or more.***

ROSENTHAL COLLINS GROUP, LLC

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ACCOUNT CONTROLLER IDENTIFICATION REQUEST**

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Account Name: _____ **Account Number:** _____

List **each person who controls** the trading of the account. (may be a natural person who exercises discretion or an employee who acts within his/her capacity as an employee of the legal entity which trades the account. There may be more than one Controller). For each Controller, please provide the following information. **If more than one Controller, copy and attach additional sheets for each additional Controller. Please indicate which Controller is the primary trader by designating a "P" next to their name. All requested information is mandatory, if applicable.**

Account Controller :

Name: _____

Controller's Full Address: _____

(Address from where the trading is taking place)

Phone Number (direct number, without having to ask for a person or an extension): _____

Email Address: _____ Job Title: _____

Name of Employer: _____ Employer NFA ID # (if any): _____

Relationship to Owner: _____ Controller/Individual NFA ID # (if any): _____

Employer LEI Code (Legal Entity Identifier (if any)): _____

**** Each account must identify a natural person account controller. If you have completed the Limited Power of Attorney Form separately, you do not need to complete this page.**

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