

- 8. Does the entity pool funds for the purpose of trading futures contracts, options on futures, retail off-exchange forex contracts or swaps, or to invest in another commodity pool?** **Yes No**
- If Yes
- Is the entity organized as a Fund (Hedge Fund, Private Equity Fund, Private Investment Company, etc)? **Yes No**
 - If Yes
 - Is the Fund registered in the jurisdiction in which it operates? **Yes No**
 - Who is the Fund manager?
 - If No
 - Is the Pool registered? **Yes No**
 - If Yes, provide registration number:
 - Is the registered Pool claiming any exemptions? **Yes No**
 - If Yes, which exemption?
 - Is the Pool claiming any CPO registration exemptions? **Yes No**
 - If Yes, 4.13(a)(1) 4.13(a)(2) 4.13(a)(3) 4.5

Document Checklist:

- | | |
|---|--|
| Certificate of Incorporation or equivalent | Address verification in the name of the Personal Guarantee |
| Articles of Incorporation or equivalent | Social Security Number or Photo ID for all officers and beneficial owners >10% |
| Address verification in the name of the company | Operating Agreement |
| Certificate of Formation | Company By-Laws (if Corporation) |
| Articles of Organization (if LLC) | Offering Memorandum (if Fund/Pool) |
| Share Certificate/Share Register | |

By signing this form you agree the information provided is correct, complete and truthful. GAIN Capital Group, LLC ("GAIN Capital"), is not responsible for any information that was incorrectly disclosed to us. All changes must be promptly reported to us. You authorize GAIN Capital to verify the veracity and accuracy of the information you provided which may include a background review of matters regulatory, civil and/or criminal in nature. You hereby release GAIN Capital from any and all liability of whatever kind and nature which, at any time, could result from reviewing information and making a decision to extend its services to you. By signing below, you attest that as long as the account at GAIN Capital is active, the corporate entity will remain active in the jurisdiction in which it was formed and further the information provided herein will remain accurate or you will promptly notify us in order to update our records.

Print Name of Corporation or LLC

Print Name	Title	Signature	Date
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