

NEW ACCOUNT DOCUMENT REQUIREMENTS**(Modified 06/01/2018)**

Customers may complete the account application manually or electronically. After you have printed a copy of the application it will be the IBs responsibility to do a preliminary review. Below is a list of additional documentation that is needed for each type of account. After you have obtained all the documents, please send the account documents and the new account summary form to FuturesNewAccounts@wedbush.com , or by fax to 312-356-6410. We will let you know if any additional information is required. If all is complete, account will then go through the approval process.

INDIVIDUAL

1. Copy of valid picture ID such as a driver's license or passport
2. If non-US, need a signed W-8

JOINT

1. Wedbush Joint Account Agreement
2. Primary account holder needs to complete the W9
3. Copy of valid picture ID such as a driver's license or passport for both account holders
4. If non-US, need a signed W-8

CORPORATION

1. A copy of their most recent audited financial statement and the Wedbush Personal Guarantee for a Corporation form
2. Wedbush Resolution to Open Account form completed and physically signed by an authorized signatory, as stated in their corporate docs. Ideally, this should be signed by someone other than the person opening the account.
3. Wedbush Entity Questionnaire form
4. Need a copy of their Articles of Incorporation in English. If Non-US entities do not have English version then we will need a certified translated copy.
5. Non-CPO letter needs to be signed, if not registered with the NFA in any capacity
6. Beneficial Owner Certification form.
7. If entity is a foreign bank, need Foreign Bank Certification
8. Copy of valid picture ID such as a driver's license or passport for all officers and anyone who has ownership of 25% or more.
9. If non-US, we need a signed W-8

LIMITED LIABILITY COMPANY (LLC)

1. A copy of their most recent audited financial statement and the Wedbush Personal Guarantee for a LLC form
2. Wedbush Authorization to Open LLC Account form completed and [physically] signed by an authorized signatory as stated in their corporate docs. Ideally, this should be signed by someone other than the person opening the account.
3. Wedbush Entity Questionnaire
4. Need copy of their LLC operating agreement in English. If Non-US LLC does not have English version then we will need a certified translated copy.
5. Non-CPO Letter needs to be signed, if not registered with the NFA in any capacity
6. Beneficial Owner Certification
7. If entity is a foreign bank, need Foreign Bank Certification
8. Copy of valid picture ID such as a driver's license or passport for all members and anyone who has ownership of 25% or more.
9. If non-US, need a signed W-8

PARTNERSHIPS

1. Wedbush Partnership Agreement form
2. Wedbush Personal Guarantee and most recent audited financial statement
3. Need a copy of their partnership agreement
4. Copy of valid picture ID such as a driver's license or passport for all partners
5. If non-US, need a signed W-8

TRUSTS

1. Wedbush Personal Guarantee
2. Wedbush Trust Agreement
3. Need a copy of their trust document that states the Trustees.
4. Copy of valid picture ID such as a driver's license or passport for all of the trustees
5. If non-US, we need a signed W-8

PENSION PLANS

1. Need a copy of the pension plan.
2. Copy of valid picture ID such as a driver's license or passport
3. Wedbush Trust Agreement
4. If non-US, we need a signed W-8

IRA RETIREMENT ACCOUNTS

1. All IRA accounts must go through a custodial trust company. The customer must complete the Wedbush Futures account application as well as the trust company's account documents. Both sets of forms need to be sent to the trust company to be processed. They will process the application and send it to the Wedbush Futures New Accounts Dept. Please work with your customer to be sure that they have all the documentation complete before sending to the trust company to avoid any delays.

COMMODITY POOL AND EXEMPT COMMODITY POOL ACCOUNTS

1. Registration must be on file with the NFA as registered or exempt from registration
2. Copy of offering document or Subscription Agreement.

OMNIBUS ACCOUNTS

1. Depending on what type of account it is, we will need all of the supporting documents.
2. Wedbush Omnibus Agreement
3. Wedbush Foreign Omnibus Account Rider
4. Copy of their AML Policy.

SUB ACCOUNTS

1. Wedbush Additional Account Request form. Please be sure that the customer indicates their reason for the sub account, sign and dates the form. Note: Customers need to complete a NEW form for each additional account they are requesting.
2. If the new sub account will be managed, please see **discretionary accounts** requirements below.

DISCRETIONARY ACCOUNTS

1. Wedbush Discretionary Account Trading Authorization form completed by the customer
2. Wedbush Account Manager Acknowledgment completed by the POA
3. If CTA will have discretion, need Authorization of receipt of Disclosure Document and Fee Schedule signed by customer
4. Copy of valid picture ID such as a driver's license or passport

NEW BLOCK ALLOCATION ACCOUNT

When a new block allocation account is needed, the trader will need to complete the a Block Order Approval form and submit to FuturesNewAccounts@wedbush.com and Backoffice@wedbush.com. Once approved, New Accounts will open the Block Account and the Back Office will set up the allocation.

CHANGES TO A BLOCK ALLOCATION ACCOUNT

When changes need to be made to the allocation, a new Block Order Approval form will need to be submitted to FuturesNewAccounts@wedbush.com and Backoffice@wedbush.com. Once submitted the Back Office will update the block account to the new allocation.

For any type of account, if the customer is retired, inexperienced or has a low liquid net worth, they will be required to complete a Wedbush Additional Risk Disclosure form.

This is a brief summary of required documents, though additional documentation may be necessary.

IF THE CUSTOMER COMPLETED THE DOCS MANUALLY WE REQUIRE THAT ALL PAGES OF THE ACCOUNT APPLICATION BE RETURNED TO US.

Please mail, fax or email new account documents to the New Accounts Department at:

Wedbush Futures
141 W. Jackson Blvd
Suite 1710-A
Chicago, IL 60604
312-356-6410 fax
FuturesNewAccounts@wedbush.com

If you have any questions, please contact the New Accounts Department at 312-356-6367 or 877-675-4415.