

GAIN requires financial statements from its customers to open a commodity trading account. Customers with no financial statements must complete the following confidential financial statement:

Liquid Assets:		Short Term Liabilities:	
Cash and cash equivalents	\$ _____	Accounts Payable	\$ _____
Marketable Securities	\$ _____	Loans/Notes Payable	\$ _____
Other Liquid Assets (Explain)	\$ _____	Other Short Term Liabilities (Explain)	\$ _____
Total Liquid Assets	\$ _____		
Other Assets:		Long Term Liabilities:	
Non Marketable Securities	\$ _____	Real Estate Mortgages	\$ _____
Notes and Receivables	\$ _____	Notes Payable	\$ _____
Cash value life insurance	\$ _____	Income taxes payable	\$ _____
Real Estate (principal residence)	\$ _____	Other taxes payable	\$ _____
Real Estate (excluding home)	\$ _____	Other liabilities (Explain)	\$ _____
Other Assets (Explain)	\$ _____		
TOTAL ASSETS	\$ _____	TOTAL LIABILITIES	\$ _____
NET WORTH		\$ _____	
		(Total Assets less Total Liabilities)	

Current Annual Income: _____
 ___ \$100,000 or over ___ \$75,000 - \$100,000 ___ \$50,000-\$75,000 ___ \$25,000 - \$50,000 ___ under \$25,000 (Please Specify)\$ _____

Bank References:

Name of Bank	Address (City/State)	Telephone	Account Number
_____	_____	_____	_____
_____	_____	_____	_____

The undersigned warrants and represents to Gain Capital Group, LLC ("GAIN") that the Application and Financial Statement completed above are true and correct, until written notice of material changes is delivered to GAIN.

The undersigned authorizes GAIN to make whatever credit inquiries it deems necessary in connection with the undersigned's account application, or in connection with transactions in the undersigned's account with GAIN. The undersigned authorizes any person or consumer reporting agency to compile and furnish to GAIN any information it may have or obtain in response to such credit inquiries, and agrees that such information shall remain GAIN's property whether or not an account is opened.

Title of Account _____ Date _____

Customer Signature _____

REQUEST FOR TAXPAYER IDENTIFICATION NUMBER / CERTIFICATE OF FOREIGN STATUS

Under penalties of perjury, I certify that:

Enter Taxpayer Identification Number _____ - _____ - _____

1. The number shown on this form is my correct taxpayer identification number (or, if marked "applied for"), I am waiting for a number to be issued to me), and (2) I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding.

OR

2. I am not a U.S. Citizen or U.S. Resident and I have not been, and do not plan to be, in the U.S. for more than 183 days during any calendar year and am not engaged, and do not plan to be engaged during the year, in a U.S. Trade or business that has effectively connected gains from Broker transactions or my country has a tax treaty with the U.S. that exempts transactions from U.S. taxes. _____ (Initial please)

Signature _____ Date _____