



## ***INDIVIDUAL APPLICATION FORM***



Prior to completing the following application form, it is essential that you have read and understood all the terms and conditions that will govern your trading account with ADS Securities LLC ("ADSS") as detailed in the following documents (as available on our website [www.adss.com/legal](http://www.adss.com/legal)):

- Risk Warnings
- Terms of Business
- Privacy Policy
- Order Execution Policy
- Conflicts of Interest Policy; and
- Cryptocurrency CFDs – Additional Risk Warnings & Conditions (if applicable)

ADS Securities LLC will use the information provided within the application form to assess the level of appropriateness of the services and products we provide to you. In light of this it is imperative to ensure that all information provided is accurate, and if any future circumstances occur that may alter this information, you are required to notify us in writing to advise us of this.

You should not proceed with this account application form if you are unsure as to the nature of the risks involved in trading using the services provided by ADSS. Margined transactions carry a high level of risk to your capital and it is possible that you lose more than your initial investment.

## Supporting Documents

Along with your application you must provide the following documents:

### Proof of Identity

Please provide ONE of the following documents:

- **Copy of Passport**
  - MUST be within validity period
- **Copy of Government Issued ID**
  - MUST be accompanied by an attestation that you do not hold a valid passport
  - MUST be within validity period – not more than 10 years from date of issue
  - MUST show legal name, date of birth, nationality & registered ID number

### Proof of Residential Address

Please provide ONE of the following documents which must state the name and current residential address as stated on this application form.

- **Utility Bill**
  - MUST state your current residential address as listed on the application form
  - MUST have been issued within the last 3 calendar months
- **Bank Statement**
  - MUST state your current residential address as listed on the application form
  - MUST have been issued within the last 3 calendar months
  - MUST be issued from the financial institution \* an online PDF is acceptable; online screen shots are not acceptable
- **Lease / Tenancy Agreement**
  - MUST state your current residential address as listed on the application form
  - MUST be within the lease term

Please note that though some forms of identity may include an address, it can only be used as either proof of identity OR proof of address only.



## ACCOUNT INFORMATION

**Introduced By**  
(for Introduced Accounts Only)

**Managed By**  
(for Managed Accounts Only)

If your account will be a managed account, you will need to complete a copy of the Limited Power of Attorney ("LPOA") available on our Website, sign the LPOA together with your money manager and provide it to ADSS.

## 1. Personal Information

(Please complete ALL sections of this form.)

**First Name**

**Last Name**

**Chinese Name**

**Title**

**Date of Birth (DD/MM/YYYY)**

**Email Address**

**International Dialing Code**

**Phone Number**

**Country of Nationality**

**Are you a national of any other countries?** ☐ YES ☐ NO

**Please specify if YES:**

**Country of Residence**

**Residential address**

**City**

**State/Province**

**Post Code (if available)**

**Po .Box (if available)**

**Are you a resident of any other countries?** ☐ YES ☐ NO

**Please specify if YES:**

**Are you a US Resident, Citizen or US tax payer as defined by the Foreign Account Tax Compliance Act 2010?**

☐ YES ☐ NO

Please note this also includes if you are a US Green Card holder, hold a US bank account, have a US PO box or postal address, have a US based power of attorney etc. Please visit the website [www.irs.gov](http://www.irs.gov) for full details or consult a foreign tax advisor.

## 2. Employment Information

**Employment Status**

☐ Employed
 ☐ Self-employed
 ☐ Unemployed
 ☐ Retired

☐ House Wife
 ☐ Student
 ☐ Other, please specify:

### Industry

☐ Accounting/Finance
 ☐ Financial Services/Banking

☐ Administration and Public Services
 ☐ FX/ CFD Trading

☐ Advertising/Marketing/ Public
 ☐ Government/Military

☐ Relations
 ☐ Healthcare

☐ Aircraft
 ☐ Information Technology

☐ Arts, Entertainment and Media
 ☐ Insurance

☐ Broker/Dealer
 ☐ Law Enforcement and Security

☐ Consulting and Management
 ☐ Leisure, Sport and Tourism

☐ Construction/Real Estate
 ☐ Recruitment and HR

☐ Education/Training
 ☐ Retail/ Sales

☐ Energy and Utilities
 ☐ Science and Pharmaceuticals

☐ Engineering and Manufacturing
 ☐ Transport and Logistics

☐ Environment and Agriculture
 ☐ Other, please specify

### Position

## 3. Financial Information

**Annual Income**

☐ Under \$25,000
 ☐ \$25,000 - \$49,999
 ☐ \$50,000 - 99,999

☐ \$100,000 - \$499,999
 ☐ \$500,000 - \$999,999
 ☐ \$1,000,000 or more

**Savings & Investments**

☐ Under \$25,000
 ☐ \$25,000 - \$49,999
 ☐ \$50,000 - 99,999

☐ \$100,000 - \$499,999
 ☐ \$500,000 - \$999,999
 ☐ \$1,000,000 or more

**Source of Funds**

☐ Salary
 ☐ Savings/Investments
 ☐ Family Income/Inheritance

☐ Other, please specify:

**Initial Deposit**

☐ \$100 - \$999
 ☐ \$1,000 - \$4,999
 ☐ \$5,000 - \$9,999

☐ \$10,000 - \$49,999
 ☐ \$50,000 - \$99,999
 ☐ \$100,000 - \$499,999

☐ \$500,000 - \$999,999
 ☐ \$1,000,000 - \$4,999,999
 ☐ \$5,000,000 - \$9,999,999

☐ \$10,000,000 or more

#### 4. Trading Experience

Please provide accurate information. Depending on your level of experience, we may need to ask you further questions once you have completed the application form.

**Over the past three years, to what extent have you traded the following products?**

Exchange-Traded derivatives e.g. warrants, futures or options, including forex: ☐ >20 times ☐ 10 - 20 times ☐ <10 times

OTC Derivatives e.g. CFDs or Spread bets, including forex: ☐ >20 times ☐ 10 - 20 times ☐ <10 times

**How have you mostly traded these products?**

☐ Independently or with advice ☐ Using managed funds ☐ Never traded

**Do you have any professional qualifications or work experience relevant to the products that we offer?**

- ☐ Yes, from a relevant role in a financial institution
- ☐ Yes, a relevant professional qualification or education
- ☐ Yes, both of the above
- ☐ No

#### 5. Marketing Preference

I would like to receive information from the ADSS group of companies and any associated or selected partners about any products, services or offers that maybe relevant to me via phone, SMS or email. ☐ YES ☐ NO

Do You Have A Promotional Code? ☐ YES ☐ NO

If Yes, please provide promotional code:

#### 6. Declarations

I understand the nature and risks of margin trading. I understand that I can incur losses significantly greater than the amount ("margin") I was initially required to deposit to open a margined transaction and should this occur I will be required to cover these losses.

I agree that I have access to the following information by way of the ADSS website and I hereby confirm that I have read, understood and agree to be bound by the terms of these documents:

- Risk Warnings
- Terms of Business
- Privacy Policy
- Order Execution Policy
- Conflicts of Interest Policy; and
- Cryptocurrency CFDs – Additional Risk Warnings & Conditions (if applicable)

Finally, I confirm that I am aged 21 years or over and that the information provided by me in this account application form is true and correct. I confirm that I will notify ADSS immediately of any changes to the information I have provided.

Signature

Date (DD/MM/YYYY)