



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):

- 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

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:

TIN (for all countries of tax residence):

A Taxpayer Identification Number (TIN) is an identifying number used for tax purposes in the United States and in other countries under the Common Reporting Standard.

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 for full details or consult a foreign tax advisor.

2. Employment and Financial Information

We need this information to make sure our products are right for you for regulatory reasons.

Employment Status

- | | | | |
|-------------------------------------|--|--|----------------------------------|
| <input type="checkbox"/> Employed | <input type="checkbox"/> Self-employed | <input type="checkbox"/> Unemployed | <input type="checkbox"/> Retired |
| <input type="checkbox"/> House Wife | <input type="checkbox"/> Student | <input type="checkbox"/> Other, please specify: <input type="text"/> | |

Industry

- | | | |
|---|---|--|
| <input type="checkbox"/> Accounting/Finance | <input type="checkbox"/> Administration and Public Services | <input type="checkbox"/> Advertising/Marketing/ Public |
| <input type="checkbox"/> Aircraft | <input type="checkbox"/> Arts, Entertainment and Media | <input type="checkbox"/> Broker/Dealer |
| <input type="checkbox"/> Consulting and Management | <input type="checkbox"/> Construction/Real Estate | <input type="checkbox"/> Education/Training |
| <input type="checkbox"/> Energy and Utilities | <input type="checkbox"/> Engineering and Manufacturing | <input type="checkbox"/> Environment and Agriculture |
| <input type="checkbox"/> Financial Services/Banking | <input type="checkbox"/> FX/ CFD Trading | <input type="checkbox"/> Government/Military |
| <input type="checkbox"/> Healthcare | <input type="checkbox"/> Information Technology | <input type="checkbox"/> Insurance |
| <input type="checkbox"/> Law Enforcement and Security | <input type="checkbox"/> Leisure, Sport and Tourism | <input type="checkbox"/> Recruitment and HR |
| <input type="checkbox"/> Relations | <input type="checkbox"/> Retail/ Sales | <input type="checkbox"/> Science and Pharmaceuticals |
| <input type="checkbox"/> Transport and Logistics | <input type="checkbox"/> Other, please specify <input type="text"/> | |

Company/Business Name

Position

Employment Level

- ☐ Member of Board of Directors or Executive Management Team ☐ Other positions

3. Financial Information

Annual Income

- | | | | |
|--|--|--|--|
| <input type="checkbox"/> Under \$25,000 | <input type="checkbox"/> \$25,000 - \$49,999 | <input type="checkbox"/> \$50,000 - \$99,999 | <input type="checkbox"/> \$100,000 - \$499,999 |
| <input type="checkbox"/> \$500,000 - \$999,999 | <input type="checkbox"/> \$1,000,000 or more | | |

Savings & Investments

- | | | | |
|--|--|--|---|
| <input type="checkbox"/> Under \$5,000 | <input type="checkbox"/> \$5,000 - \$24,999 | <input type="checkbox"/> \$25,000 - \$49,999 | <input type="checkbox"/> \$50,000 - \$249,999 |
| <input type="checkbox"/> \$250,000 - \$499,999 | <input type="checkbox"/> \$500,000 - \$1,000,000 | <input type="checkbox"/> \$1,000,000 or more | |

Source of Funds

- | | | | |
|--|--|--|----------------------------------|
| <input type="checkbox"/> Salary | <input type="checkbox"/> Savings/Investments | <input type="checkbox"/> Family Income/Inheritance | <input type="checkbox"/> Pension |
| <input type="checkbox"/> Other, please specify: <input type="text"/> | | | |

Initial Deposit

- | | | | |
|--|--|--|--|
| <input type="checkbox"/> \$100 - \$999 | <input type="checkbox"/> \$1,000 - \$4,999 | <input type="checkbox"/> \$5,000 - \$9,999 | <input type="checkbox"/> \$10,000 - \$49,999 |
| <input type="checkbox"/> \$50,000 - \$99,999 | <input type="checkbox"/> \$100,000 - \$499,999 | <input type="checkbox"/> \$500,000 - \$999,999 | <input type="checkbox"/> \$1,000,000 - \$4,999,999 |
| <input type="checkbox"/> \$5,000,000 - \$9,999,999 | <input type="checkbox"/> \$10,000,000 or more | | |

4. Trading Experience

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

How many times have you traded or invested the following products in the last three years?

Exchange Traded Derivatives

For example: warrants, futures or options (including forex)

☐ Over 20 times

☐ 10 - 20 times

☐ 0 – 10 times

Over the Counter Derivatives

For example: CFDs, Spread Bets (including forex)

☐ Over 20 times

☐ 10 - 20 times

☐ 0 – 10 times

How have you mostly traded these products?

☐ Independently or with Advice

☐ Through a managed fund

☐ Never

Do you have any relevant qualifications or work experience that have given you an understanding of our products?

☐ Yes, from a relevant role in a financial services firm

☐ 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

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)