

When opening a customer account which meets one or more of the criteria below, then an additional risk disclosure must be provided to the customer. This disclosure must be signed and returned with the account opening documents. Please check off any criteria applicable to the customer account below. In addition to the factors below, Straits Financial LLC ("Straits") may review account applications on a case by case basis for the purpose of determining if an additional risk disclosure is necessary. If you have any concerns or questions about issuing an additional risk disclosure, please contact an individual in Straits' Compliance or New Accounts Department.

☒ 1. Individual or joint applicants have less than six (6) months of combined (if applicable) trading experience over all categories listed within the account application.

☐ 2. Annual Income less than \$25,000.

☐ 3. Liquid Assets less than \$25,000.

☐ 4. Net Worth less than \$50,000.

☐ 1. Annual Income less than \$50,000.

☐ 2. Liquid Assets less than \$50,000.

☐ 4. Net Worth less than \$100,000.

Straits is providing you with an additional risk disclosure before you open a commodity future and option trading account to ensure the risks associated with trading are fully understood.



Only risk capital should be used when depositing funds into your trading account. Risk capital is money that can be lost without jeopardizing ones financial security or lifestyle. Leverage is used in futures trading. The high degree of leverage that is obtainable in futures trading because of the small margin requirements can work against you as well as for you. The use of leverage can lead to large losses as well as gains.

Straits recommends that you fully review the risk disclosure statement within the customer agreement and discuss any concerns with your Straits Representative or Introducing Broker. Additionally, these individuals can answer questions about futures and options trading and direct you to educational information.

By signing below you acknowledge that the funds you have committed are purely risk capital and loss of your investment will not jeopardize your style of living nor will it detract from your future retirement program. Additionally, you fully understand the nature and risks of futures and options investments and have thoroughly read and understood all risk disclosure statements.

I hereby acknowledge that I have received and understood this risk disclosure statement.

All account holders must sign.

Signature 1	Signature 2
	
Print Name	Print Name
_____	_____
Title (if applicable)	Title (if applicable)
_____	_____
Date	Date
_____	_____