



ACCOUNT APPLICATION

ACCOUNT APPLICATION

Welcome to Rosenthal Collins Group!

Our on-line account applications are easy to use and will guide you every step of the way.

☒ Check here to start your Application

☐ Check here to complete your Application 接續上次未完成

Create a Secure Account

Please create a unique USER ID and password for your Account Application which will allow you to securely enter your information on-line. If you can't complete your application in a single session, don't worry! We will save your information under the User ID and Password you have created so you can return to the application at a later time to finish.

***Please retain your User ID and Password

If you have any questions or experience technical difficulties when completing your application, please contact your Account Executive or contact us at newaccounts@rcgdirect.com.

[Click here to create your USER ID and PASSWORD](#)

ACCOUNT APPLICATION

Enter the Type of Account:



Individual



Joint



Corporate



Trust



Partnership/LLC

Create Your User ID:*

Forexxin 設定帳戶

• A minimum of 6 and a maximum of 8 characters

Create Your Password:*

• A minimum of 6 and a maximum of 8 characters

• Must begin with a letter

Confirm Your Password:*

• Must contain at least one uppercase letter (A-Z) and one number (0-9)

• May not contain spaces or special characters

Email Address:*

Forexxin@gmail.com

Security Question 1*

What was the name of your first school? ▾

Your Answer*

taiwan school

Security Question 2*

What is your favorite sport? ▾

Your Answer*

baseball

Create My Login

***Please retain your User ID and Password

If you need further assistance please contact the New Accounts Department at newaccounts@rcgdirect.com or (312) 795-7930.



ROSENTHAL
COLLINS
GROUP LLC

ACCOUNT APPLICATION

ACCOUNT APPLICATION

Your Login is Successfully Created! Details are:

User ID: Forexxin

Account Type: Individual

*****Please retain your User ID**

[Take Me To Account Forms](#)



ROSENTHAL
COLLINS
GROUP LLC

ACCOUNT APPLICATION

QUESTIONNAIRE

Individual Account Forms

- 1 ☐ Questionnaire
- 2 ☐ Personal Information
- 3 ☐ Financial Information
- 4 ☐ Experience
- 5 ☐ Account Statements
- 6 ☐ Futures Agreement
- 7 ☐ Forex Agreement
- 8 ☐ Electronic Trading Agreement
- 9 ☐ Arbitration Agreement
- 10 ☐ US Tax Payer Info
- 11 ☐ Non US Tax Payer Info
- 12 ☐ Foreign Certification
- 13 ☐ Futures Transfer Authorization
- 14 ☐ Risk Disclosure
- 15 ☐ Security Futures Risk Disclosures
- 16 ☐ Other Disclosures
- 17 ☐ Power Of Attorney
- 18 ☐ Account Controller
- 19 ☐ Hedge Account
- 20 ☐ Funding Your Account
- 21 ☐ Privacy Policy
- 22 ☐ Anti-Money Laundering Policy
- 23 ☐ Personal Funds Certification
- 24 ☐ Submit

Logout

Next >>

* Required Field

Who is your Introducing Broker or Account Executive? *

casey

(If none, type NONE)

Which products do you plan to trade? * (Check all that apply)

☒ Futures and Futures Options

☐ Cash Foreign Currencies

Will this account be used strictly for speculation, or will it be a hedging account? *

☒ Speculative

☐ Hedge

Will you be transferring your existing account from another firm? *

☐ Yes

☒ No

Do you plan on placing any trades in this account electronically? *

☒ Yes

☐ No

If you plan to execute your trades electronically, which trading platform(s) do you plan to use?

☐ RCG Onyx ®

☐ PATS J-Trader ®

☐ TT's X_Trader ®

☐ CQG ™

☐ RANorder

☐ Strategy Runner ™

☐ Do Not Know

如果你要用Turbor Trader 2

☒ Other

Please specify: Turbor Trader 2

Will this account be managed or traded by a third party? *

☐ Yes

☒ No

Next >>



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ACCOUNT APPLICATION

PERSONAL INFORMATION

Individual Account Forms

- 1 ☒ Questionnaire
- 2 ☐ Personal Information
- 3 ☐ Financial Information
- 4 ☐ Experience
- 5 ☐ Account Statements
- 6 ☐ Futures Agreement
- 7 ☐ Electronic Trading Agreement
- 8 ☐ Arbitration Agreement
- 9 ☐ US Tax Payer Info
- 10 ☐ Non US Tax Payer Info
- 11 ☐ Foreign Certification
- 12 ☐ Risk Disclosure
- 13 ☐ Security Futures Risk Disclosures
- 14 ☐ Other Disclosures
- 15 ☐ Funding Your Account
- 16 ☐ Privacy Policy
- 17 ☐ Anti-Money Laundering Policy
- 18 ☐ Personal Funds Certification
- 19 ☐ Submit

Logout

<< Prev

Next >>

* Required Field

Name

First Name: *

明

Middle Name or Initial:

大

Last Name: *

王

This will be your electronic signature: (242 characters left)

Date Of Birth: *

生日

(mm/dd/yyyy)

Marital Status: *

單身/結婚

☐ Single ☒ Married ☐ Divorced

Number of Dependents: *

1

Citizenship: *

NON-US

Please state your Citizenship: *

Taiwan

Home Address

Street Address 1: *

City 708, Taiwan (R. O. C.)

(A street address or rural route is required. PO boxes are not acceptable.)

Street Line 2:

City: *

Tainan

State or Province: *

Taiwan

Country: *

Taiwan

Zip Code (if applicable):

7L...

Contact Information

Home Phone: *

88662-****

Business Phone: *

8869-12

Email Address: *

Forexin@gmail.com

Employment Information

Please Check One:

☐ Employed ☐ Self Employed ☒ Retired ☐ Other

受雇/退休

<< Prev

Next >>

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FINANCIAL INFORMATION

Individual Account Forms

- 1 ☒ Questionnaire
- 2 ☒ Personal Information
- 3 ☐ Financial Information
- 4 ☐ Experience
- 5 ☐ Account Statements
- 6 ☐ Futures Agreement
- 7 ☐ Electronic Trading Agreement
- 8 ☐ Arbitration Agreement
- 9 ☐ Non US Tax Payer Info
- 10 ☐ Foreign Certification
- 11 ☐ Risk Disclosure
- 12 ☐ Security Futures Risk Disclosures
- 13 ☐ Additional Risk Disclosure
- 14 ☐ Other Disclosures
- 15 ☐ Funding Your Account
- 16 ☐ Privacy Policy
- 17 ☐ Anti-Money Laundering Policy
- 18 ☐ Personal Funds Certification
- 19 ☐ Submit

Logout

* Required Field

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<< Prev Next >>

Assets

Annual Income *

- | | |
|---|--|
| <input type="radio"/> < \$25,000 | <input checked="" type="radio"/> \$25,000 - 50,000 |
| <input type="radio"/> \$50,000 - 100,000 | <input type="radio"/> \$100,000 - 250,000 |
| <input type="radio"/> \$250,000 - 500,000 | <input type="radio"/> \$500,000 - 750,000 |
| <input type="radio"/> \$750,000 - 1,000,000 | <input type="radio"/> \$1,000,000+ |

Net Worth (excluding equity in home) *

- | | |
|---|--|
| <input type="radio"/> < \$25,000 | <input type="radio"/> \$25,000 - 50,000 |
| <input checked="" type="radio"/> \$50,000 - 100,000 | <input type="radio"/> \$100,000 - 250,000 |
| <input type="radio"/> \$250,000 - 500,000 | <input type="radio"/> \$500,000 - 1,000,000 |
| <input type="radio"/> \$1,000,000 - 5,000,000 | <input type="radio"/> \$5,000,000 - 10,000,000 |
| <input type="radio"/> \$10,000,000+ | |

Initial Account Deposit: *

\$ 1000

Cash in Banks: *

\$ 30000

Marketable Securities: *

\$ 50000

Source of Assets: *

- ☐ Employment
 ☒ Investments
 ☐ Inheritance
☐ Other

Residence:

- ☒ Own
 ☐ Rent
 ☐ Other

Mortgage Held By: * N/A

Current Bank/Money Market Accounts

Account (1)

Institution Name: *

Fubon

Street:

City: *

Tainan

State or Province: *

Taiwan

Country: *

Taiwan

Phone:

886-2-22222222

Account (2)

Institution Name:

Street:

City:

State or Province:

Country:

Phone:

<< Prev Next >>

INVESTMENT EXPERIENCE

Individual Account Forms

- 1 ☒ Questionnaire
- 2 ☒ Personal Information
- 3 ☒ Financial Information
- 4 ☐ Experience
- 5 ☐ Account Statements
- 6 ☐ Futures Agreement
- 7 ☐ Electronic Trading Agreement
- 8 ☐ Arbitration Agreement
- 9 ☐ Non US Tax Payer Info
- 10 ☐ Foreign Certification
- 11 ☐ Risk Disclosure
- 12 ☐ Security Futures Risk Disclosures
- 13 ☐ Additional Risk Disclosure
- 14 ☐ Other Disclosures
- 15 ☐ Funding Your Account
- 16 ☐ Privacy Policy
- 17 ☐ Anti-Money Laundering Policy
- 18 ☐ Personal Funds Certification
- 19 ☐ Submit

Logout

<< Prev Next >>

* Required Field

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Do you now, or did you ever, have an interest in a trading account at RCG or another firm? *

☐ Yes ☒ No

Investment Experience

Type	Yes	No	No. of years
Commodities : *	<input checked="" type="radio"/>	<input type="radio"/>	<input type="text" value="5"/>
Cash Foreign Currencies : *	<input checked="" type="radio"/>	<input type="radio"/>	<input type="text" value="6"/>
Stocks/Bonds : *	<input checked="" type="radio"/>	<input type="radio"/>	<input type="text" value="8"/>
Funds : *	<input checked="" type="radio"/>	<input type="radio"/>	<input type="text" value="3"/>

Do you understand

The risk of loss in futures trading? *

☒ Yes ☐ No

The leverage provided in futures and options trading? *

☒ Yes ☐ No

The possibility of incurring a debit balance? *

☒ Yes ☐ No

That you may be required to deposit additional funds to margin your account? *

☒ Yes ☐ No

Will all the deposits to your account come from a bank account in your name? *

☒ Yes ☐ No

Will any of the profits or losses in this account be shared with another person or entity, with the exception of your spouse? *

☐ Yes ☒ No

Do you now have pending, or have you ever had litigation, disputed accounts, or unresolved matters with any brokerage or financial services firm? *

☐ Yes ☒ No

Are you now or were you ever an NFA or NASD member? *

☐ Yes ☒ No

Are you related to anyone employed by RCG? *

☐ Yes ☒ No

Are you related to your Introducing Broker or anyone employed by your Introducing Broker? *

☐ Yes ☒ No

<< Prev Next >>



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ACCOUNT APPLICATION

ACCOUNT STATEMENTS

Individual Account Forms

- 1 ☒ Questionnaire
- 2 ☒ Personal Information
- 3 ☒ Financial Information
- 4 ☒ Experience
- 5 ☐ Account Statements
- 6 ☐ Futures Agreement
- 7 ☐ Electronic Trading Agreement
- 8 ☐ Arbitration Agreement
- 9 ☐ Non US Tax Payer Info
- 10 ☐ Foreign Certification
- 11 ☐ Risk Disclosure
- 12 ☐ Security Futures Risk Disclosures
- 13 ☐ Additional Risk Disclosure
- 14 ☐ Other Disclosures
- 15 ☐ Funding Your Account

* Required Field

Do you wish to access your statements electronically?

☒ Yes

☐ No

If yes, please be advised that RCG will display electronically confirmation of actual transactions and/or orders, purchase and sale notices, correction notices and statements of your account(s) through its Passport and Archive products. You agree that no printed copy of such daily or monthly information will be sent to you by regular mail. In the event you do not wish to receive your statements via Passport or Archive, your account may be charged a monthly statement fee.

<< Prev

Next >>

<< Prev

Next >>

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ACCOUNT APPLICATION

FUTURES CUSTOMER AGREEMENT

Individual Account Forms

- 1 ☒ Questionnaire
- 2 ☒ Personal Information
- 3 ☒ Financial Information
- 4 ☒ Experience
- 5 ☒ Account Statements
- 6 ☐ Futures Agreement
- 7 ☐ Electronic Trading Agreement
- 8 ☐ Arbitration Agreement
- 9 ☐ Non US Tax Payer Info
- 10 ☐ Foreign Certification
- 11 ☐ Risk Disclosure
- 12 ☐ Security Futures Risk Disclosures
- 13 ☐ Additional Risk Disclosure
- 14 ☐ Other Disclosures
- 15 ☐ Funding Your Account

電子簽名(英文拼音)/Next

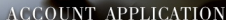
[<< Prev](#)[Next >>](#)

* Required Field

Carefully read the following Customer Account Agreement. Your signature(s) at the end of this Agreement indicates your intention to be bound by the terms and conditions contained herein.

In consideration of Rosenthal Collins Group, L.L.C. ("RCG") accepting your account and its agreement to act as your broker, you agree to the following with respect to any of your accounts with RCG for the purchase and sale of securities, monies, physical commodities, futures contracts, options on futures, foreign futures contracts, options on foreign futures, forward contracts and foreign exchange contracts (collectively referred to as "commodities" or "property"):

1. You represent that you are of the age of majority, of sound mind, and authorized to open accounts and enter into this agreement, that you are not an officer or employee of any exchange, board of trade, clearing house, or an employee or affiliate of any futures commission merchant or introducing broker, or an officer, partner, director, or employee of any securities broker or dealer, bank, trust or insurance company, and will promptly notify RCG if you become so employed. You represent that you are the sole owner of your account(s) and that no person, except as disclosed herein, has any interest therein. You also represent that the funds deposited into your account are your own and that no funds from any other person or entity will be deposited into your account. (You understand that RCG is relying on the representations contained herein with regard to the manner in which RCG will carry your account, and you agree to notify RCG immediately in writing in the event that these circumstances change.



電子簽名(英文拼音)/Next

<< Prev Next >>

* Required Field

This Agreement is between [REDACTED] ("Customer") and Rosenthal Collins Group, L.L.C., its subsidiaries and affiliates ("RCG") with respect to the electronic trading account (the "Account") opened on behalf of Customer. This Agreement shall govern all aspects of the Account as detailed below:

1. Customer acknowledges that this Agreement is an addendum to the RCG Commodity Customer Agreement and applies to those trades entered into by Customer through the use of RCG's proprietary electronic order entry system (the "System") that provides access to RCG through the electronic transmission medium commonly known as the "Internet." This Agreement must be executed and manually received by RCG prior to Customer's commencement of electronic trading.
2. RCG will assign the Customer a unique confidential user identification name ("User ID") and password ("Password") which must be used solely by Customer in order to access RCG through the System. Customer agrees that the User ID and Password may not be disclosed to, or used by, any other person or party, for any purpose whatsoever. Customer hereby agrees that all orders placed through and instructions given to RCG are Customer's sole responsibility. Customer will save, defend, indemnify and otherwise hold RCG harmless of, from and against any and all liability, costs or damages of any kind arising by virtue of any unauthorized use of Customer's User ID and Password.

ACCOUNT APPLICATION

ARBITRATION AGREEMENT

Individual Account Forms

- 1 ☒ Questionnaire
- 2 ☒ Personal Information
- 3 ☒ Financial Information
- 4 ☒ Experience
- 5 ☒ Account Statements
- 6 ☒ Futures Agreement
- 7 ☒ Electronic Trading Agreement
- 8 ☐ Arbitration Agreement
- 9 ☐ Non US Tax Payer Info
- 10 ☐ Foreign Certification
- 11 ☐ Risk Disclosure
- 12 ☐ Security Futures Risk Disclosures
- 13 ☐ Additional Risk Disclosure
- 14 ☐ Other Disclosures
- 15 ☐ Funding Your Account

電子簽名(英文拼音)/Next

<< Prev

Next >>

THREE FORUMS EXIST FOR THE RESOLUTION OF COMMODITY DISPUTES: CIVIL COURT LITIGATION, REPARATIONS AT THE COMMODITY FUTURES TRADING COMMISSION ("CFTC") AND ARBITRATION CONDUCTED BY A SELF-REGULATORY OR OTHER PRIVATE ORGANIZATION.

THE CFTC RECOGNIZES THAT THE OPPORTUNITY TO SETTLE DISPUTES BY ARBITRATION MAY IN SOME CASES PROVIDE MANY BENEFITS TO CUSTOMERS, INCLUDING THE ABILITY TO OBTAIN AN EXPEDITIOUS AND FINAL RESOLUTION OF DISPUTES WITHOUT INCURRING SUBSTANTIAL COSTS. THE CFTC REQUIRES, HOWEVER, THAT EACH CUSTOMER INDIVIDUALLY EXAMINE THE RELATIVE MERITS OF ARBITRATION AND THAT YOUR CONSENT TO THIS ARBITRATION AGREEMENT BE VOLUNTARY.

BY SIGNING THIS AGREEMENT, YOU:

(1) MAY BE WAIVING YOUR RIGHT TO SUE IN A COURT OF LAW, AND

(2) ARE AGREEING TO BE BOUND BY ARBITRATION OF ANY CLAIMS OR COUNTERCLAIMS WHICH YOU OR ROSENTHAL COLLINS GROUP, L.L.C. ("RCG") MAY SUBMIT TO ARBITRATION UNDER THIS AGREEMENT. YOU ARE NOT, HOWEVER, WAIVING YOUR RIGHT TO ELECT INSTEAD TO PETITION THE CFTC TO INSTITUTE REPARATIONS PROCEEDINGS UNDER SECTION 14 OF THE COMMODITY EXCHANGE ACT WITH RESPECT TO ANY DISPUTE WHICH MAY BE ARBITRATED PURSUANT TO THIS

ACCOUNT APPLICATION

BACKUP WITHHOLDING AND TRANSACTION REPORTING REQUIREMENTS - NON US

Individual Account Forms

- 1 ☒ Questionnaire
- 2 ☒ Personal Information
- 3 ☒ Financial Information
- 4 ☒ Experience
- 5 ☒ Account Statements
- 6 ☒ Futures Agreement
- 7 ☒ Electronic Trading Agreement
- 8 ☒ Arbitration Agreement
- 9 ☐ Non US Tax Payer Info
- 10 ☐ Foreign Certification
- 11 ☐ Risk Disclosure
- 12 ☐ Security Futures Risk Disclosures
- 13 ☐ Additional Risk Disclosure
- 14 ☐ Other Disclosures
- 15 ☐ Funding Your Account

* Required Field

W-8 非居民

If you fail to furnish us with an exemption certificate as a Foreign Person, we may be required to withhold 20% of any withdrawals or payments from your account.

W-8 Section

Foreign Person Exemption

Initial here Required if this is the account of an EXEMPT

FOREIGN PERSON meeting each of the following requirements:

1. You are neither a citizen nor a resident of the United States;
2. You have not been nor plan to be in the U.S. for a period aggregating 183 or more days during the calendar year; and
3. You do not expect to engage in trade or business in the United States with respect to which any gain derived from transactions effected by the broker during that calendar year is effectively connected.

If your mailing address is within the United States, please provide your non-United States address below:

Name:

Street:

<< Prev

Next >>



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ACCOUNT APPLICATION

SECURITY FUTURES RISK DISCLOSURES

Individual Account Forms

- 1 ☒ Questionnaire
- 2 ☒ Personal Information
- 3 ☒ Financial Information
- 4 ☒ Experience
- 5 ☒ Account Statements
- 6 ☒ Futures Agreement
- 7 ☒ Electronic Trading Agreement
- 8 ☒ Arbitration Agreement
- 9 ☒ Non US Tax Payer Info
- 10 ☒ Foreign Certification
- 11 ☒ Risk Disclosure
- 12 ☒ Security Futures Risk Disclosures
- 13 ☒ Additional Risk Disclosure
- 14 ☒ Other Disclosures
- 15 ☒ Funding Your Account

打勾/Next

<< Prev Next >>

Carefully read the following Security Futures Risk Disclosures and acknowledge your understanding by checking the box at the end of the statements.

This disclosure statement discusses the characteristics and risks of standardized security futures contracts traded on regulated U.S. exchanges. At present, regulated exchanges are authorized to list futures contracts on individual equity securities registered under the Securities Exchange Act of 1934 (including common stock and certain exchange-traded funds and American Depositary Receipts), as well as narrow-based security indices. Futures on other types of securities and options on security futures contracts may be authorized in the future. The glossary of terms appears at the end of the document.

Customers should be aware that the examples in this document are exclusive of fees and commissions that may decrease their net gains or increase their net losses. The examples also do not include tax consequences, which may differ for each customer.

Section 1 – Risks of Security Futures

1.1. Risks of Security Futures Transactions

Trading security futures contracts may not be suitable for all investors. You may lose a substantial amount of money in a very short period of time. The amount you may lose is potentially unlimited and can exceed the amount you

Settlement price – 1) the daily price that the clearing organization uses to mark open positions to market for determining profit and loss and margin calls, 2) the price at which open cash settlement contracts are settled on the last trading day and open physical delivery contracts are invoiced for delivery.

Short – 1) the selling side of an open futures contract, 2) a person who has sold futures contracts that are still open.

Speculating – buying and selling futures contracts with the hope of profiting from anticipated price movements.

Spread – 1) holding a long position in one futures contract and a short position in a related futures contract or contract month in order to profit from an anticipated change in the price relationship between the two, 2) the price difference between two contracts or contract months.

Stop limit order – an order that becomes a limit order when the market trades at a specified price. The order can only be filled at the stop limit price or better.

Stop loss order – an order that becomes a market order when the market trades at a specified price. The order will be filled at whatever price the market is trading at. Also called a stop order.

Tick – the smallest price change allowed in a particular contract.

Trader – a professional speculator who trades for his or her own account.

Underlying security – the instrument on which the security futures contract is based. This instrument can be an individual equity security (including common stock and certain exchange-traded funds and American Depositary Receipts) or a narrow-based index.

Volume – the number of contracts bought or sold during a specified period of time. This figure includes liquidating transactions.

☒ I hereby acknowledge that I have read and understand the Security Futures Risk Disclosure Statements for Futures and Options.

<< Prev Next >>

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ACCOUNT APPLICATION

FUNDING YOUR ACCOUNT

Individual Account Forms

- 1 ☒ Questionnaire
- 2 ☒ Personal Information
- 3 ☒ Financial Information
- 4 ☒ Experience
- 5 ☒ Account Statements
- 6 ☒ Futures Agreement
- 7 ☒ Electronic Trading Agreement
- 8 ☒ Arbitration Agreement
- 9 ☒ Non US Tax Payer Info
- 10 ☒ Foreign Certification
- 11 ☒ Risk Disclosure
- 12 ☒ Security Futures Risk Disclosures
- 13 ☒ Additional Risk Disclosure
- 14 ☒ Other Disclosures
- 15 ☒ Funding Your Account
- 17 ☐ Anti-Money Laundering Policy
- 18 ☐ Personal Funds Certification
- 19 ☐ Submit

[Logout](#)

[<< Prev](#) [Next >>](#)

You may fund your account in three ways. Regardless of the method of funding you choose, **the originator of the funds must always be the name or names listed as the account owner.**

(1) By **Bank Wire**, Bank wires are cleared funds and allow you to begin trading your account immediately. If you are wiring funds other than US Dollars to RCG you must contact your Introducing Broker or Account Executive for special instructions or obtain wire instructions for foreign funds located on the RCG website at www.roadstreet.com. If you fail to do so you will be charged a conversion rate that is beyond RCG's control. Following are instructions for wiring US Dollars to RCG:

重要：入金電匯帳戶

Following are instructions for wiring funds to RCG:

Harris Trust and Savings Bank, Chicago, Illinois, ABA Routing Number 071 000 288
For credit to the Rosenthal Collins Group, L.L.C. Customer Segregated Funds A/C #9364467,
For further credit to (your name and new RCG account number)

(2) **Checks**, Certified checks and cashiers checks made payable to RCG are in most cases considered cleared funds and in most cases you may begin to trade your account immediately. Personal checks, savings and loan checks and checks drawn on money market or credit union accounts may require clearance before you trade.
(3) **transfer or funds**, you may wish to fund your account by transferring funds to RCG from a brokerage or investment account at another firm. Funds transferred from another brokerage account are considered cleared funds. To transfer funds, fill out the Transfer of Account form included in Booklet B, C, D or E.

IMPORTANT NOTICE TO FUTURES CUSTOMERS

If your account has been introduced to Rosenthal Collins Group, L.L.C. ("RCG") by an Introducing Broker, we want you to be aware of the relationship between RCG, the Introducing Broker and the Account Executive who services your account in its day to day activities.

Please be aware of the following:

RCG will accept only funds remitted from the account holder which are made payable to Rosenthal Collins Group, L.L.C. In other words the funds that you send to RCG must originate from an account in the same name as your account at RCG. When RCG accepts these funds for your account they will be deposited into and held in a "Customer Segregated Funds" account. Neither your Introducing Broker nor your Account Executive are authorized to accept funds which are made payable to anyone other than RCG. **You should also know that when funds are drawn out of your account they will be made payable only to the name or names of the account holder.**

All instructions and order placement for your account should be directed to your Account Executive at your Introducing Broker. Your Account Executive will assist you in your trading. If you have granted a Power of Attorney to trade your account to a third party, trading activity is permitted in your account without your specific authorization for each trade. If you have not granted Power of Attorney to a third party, trading in your account is prohibited without your specific authorization.

RCG may call for the immediate deposit of additional funds to your account should your account fall below RCG's margin requirements and may take any action necessary to protect the firm from potential losses.

If you have questions regarding transactions in your account or your account statements, please direct such questions to your Account Executive at your Introducing Broker. However, if matters are not handled to your satisfaction contact the RCG Compliance Department at (312) 460-9200.

[<< Prev](#) [Next >>](#)



ROSENTHAL
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ACCOUNT APPLICATION

SUBMIT

Individual Account Forms



Print Forms

- 1 ☒ Questionnaire
- 2 ☒ Personal Information
- 3 ☒ Financial Information
- 4 ☒ Experience
- 5 ☒ Account Statements
- 6 ☒ Futures Agreement
- 7 ☒ Electronic Trading Agreement
- 8 ☒ Arbitration Agreement
- 9 ☒ Non US Tax Payer Info
- 10 ☒ Foreign Certification
- 11 ☒ Risk Disclosure
- 12 ☒ Security Futures Risk Disclosures
- 13 ☒ Additional Risk Disclosure
- 14 ☒ Other Disclosures
- 15 ☒ Funding Your Account

Submit

Non-US citizens MUST return a copy of a valid passport or other government issued ID to their broker.

將護照或身份證，再加上地址證明
(水電、信用卡帳單)/掃描寄給GF(n
cwaccount@globalfutures.com)



ROSENTHAL
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ACCOUNT APPLICATION

CONGRATULATIONS

Congratulations! The online portion of your Rosenthal Collins Group Account Application has been successfully submitted! To ensure your account is processed quickly, please remember to submit the following items to your broker:

- Government-issued ID, Passport or Drivers License.
- **IMPORTANT:** Please print, sign, and return to your broker the following form: [Print Signature Form](#)
Your account will not be opened until we receive this signed form.

Please make note of your PASSWORD and keep it in a safe place. You will use this Password to access many of the products and services offered by RCG including *Passport and Archive*.