



ADM Investor Services, Inc.

ADMIS NEW Online Account Application

April 2017

Overview

❖ Application Process

The description of the system that follows is divided into the application process and the broker review process. The application pages show the forms that applicants will encounter depending on their characteristics. Completing the forms is simple. Once the information is entered the applicant electronically “signs” the document and moves on. If any required information is omitted, the location with the missing information is highlighted and must be completed before proceeding. The applicant can leave the application at any point and return using the username and password that were created.

❖ Broker Approval

The broker approval section shows the screens that will be used to approve accounts. The broker selects an application, reviews the documents and approves the application. Once the broker approves the application, the New Accounts Department will review, approve and notify the broker that the account has been opened.



Survey

The following simple questions will create an application that includes only the necessary forms. Some of these questions will also fill in answers in the application. Answering each question carefully will make the application process much easier.

Survey Application Questions

1. Legal Entity:

- Individual
- IRA
- Joint
- Partnership
- Corporation
- Limited Liability Company
- Trust

2. Preliminary Account Information

3. Personal Information for Primary Account Owner

4. Employment Information

5. Risk Profile

6. Tax Information

7. Additional Information

8. Exchange for Related Positions

9. Statements

10. Transfers

Step 1: Broker Invites Customer from Members1st Site or Individual link

ADM Investor Services, Inc. Online Application Admin Invite User Erin Cassato

Applications

Open Submitted Approved Completed Office Legal Name Find Reload

View	Legal Name	Username	App ID	App Type	Status	Office	SalesC...	Acco...	Last Admin Action & Comment	Time Crea...	Time Upd...	Admin...
	Erin cassato	admisdemo	10225	Individual	CREATED	YY1				02/17/2016...	02/17/2016...	
		admisdemo	10224	Corporation	NEW	YY1				02/17/2016...	02/17/2016...	
		kburket	10223	Corporation	NEW	YY1				02/17/2016...	02/17/2016...	
	Yong Ao	pan	10115	Individual	NEW	YY1				01/14/2016...	01/14/2016...	

Invite User to Online Application

Office: YY1

User email address: erin.cassato@admis.com

Is this a discretionary account? Yes No

CTA name: CTA Name

CTA email address: CTA@cta.com

Broker name (optional): John Doe

Ok Cancel

Step 2: Customer Receives Invitation Email

Step 3: Customer Creates Log In



ADM Investor Services, Inc.

Welcome to the ADMIS Online Application

In this application, you will be guided through a series of questions that will help us become familiar with your interests and determine whether you are eligible to become a customer. After answering the questions, we will generate official documents that the required parties in your organization will sign.

Throughout the account application process, you will receive notification emails describing the next required action.

[Click here for a list of requirements needed to complete an application.](#)

Please login.

Broker

Test Office YY1

Email or Username

Password

[Forgot Password](#)

Login

Don't have a login?

You need to create a username and password for accessing the application throughout the process. If for any reason you need to logoff and complete your application later, all of your information will be saved for you.

Create Login

For returning applicants only

For NEW applicants

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Step 4: Customer Chooses Legal Entity & Starts the Application Process



All fields required unless otherwise indicated.

Home

Welcome erin cassato! Please choose an existing application or create a new application.

If you have existing applications, you may select an application by clicking an icon in the "Open" column of the grid on the application's row. If you want to start a new application, fill in the information at the bottom of the page and click the "New Application" button.

Open	Save PDF	App ID	App Type	Status	Office	Legal Name	Date Created	Date Updated ↓
------	----------	--------	----------	--------	--------	------------	--------------	----------------

Create a New Application

Legal Entity

- Individual
- Joint
- IRA (Please make certain your Introducing Broker accepts IRAs before choosing this account type)
- Partnership
- Corporation
- Limited Liability Company
- Trust

New Application

Step 5: Customer Begins Survey Questions



100%

Continue All fields required unless otherwise indicated.

Preliminary Account Information

What type of product are you going to trade? ⓘ

- Commodity Futures and/or Options on Futures Products
- Security Futures
- OTC FX

(Please check if your Introducing Broker allows trading in Security Futures)

How will this account be traded? ⓘ

- Self directed
- CTA or 3rd Party Controller

Choose one ⓘ

- Speculative
- Hedge

Explain the nature and extent of your business

asf

Commodities used for hedging

CBOT Wheat x CBOT Mini Corn x ▼

Not all IBs trade Security Futures and/or FX Products

Choose one

Hedge

Making an investment to reduce the risk of adverse price movements in an asset. Normally, a hedge consists of taking an offsetting position in a related security, such as a futures contract. *(Examples include: a farmer trading grain, a cattle feeder trading cattle or a miner trading precious metals.)*

Please note: if the business is trading, financial in nature, investing, investment vehicle or lists a similar purpose, we will require the Proprietary Funds Acknowledgment Form

Continue All fields required unless otherwise indicated.

Customer Continues Preliminary Account Information:

Based on the answers of the Survey Questions, the Application will generate the required questions that need to be answered such as, but not limited to, the below examples:

Preliminary Account Information

Personal Information for Primary Account Owner

Employment Information

Risk Profile

Tax Information

Additional Information

Exchange for Related Positions (Versus Cash)

Statements

Step 6: Customer Confirms Information



100%

Previous

Continue

All fields required unless otherwise indicated.

Confirm Information

Before proceeding, please verify your information. Click **Previous** if you need to change your answers. Click **Continue** to submit your answers and proceed to the next step.

First Name	<input type="text" value="Erin"/>
Last Name	<input type="text" value="Cassato"/>
Date of Birth	<input type="text" value="06/21/1984"/>
SSN	<input type="text" value="XXX-XX-6789"/>
Address Line 1	<input type="text" value="141 W Jackson"/>
Address Line 2	<input type="text" value="Suite 1600"/>
City	<input type="text" value="Chicago"/>
Country	<input type="text" value="United States of Americ ▾"/>
State	<input type="text" value="Illinois ▾"/>
Zip	<input type="text" value="60604"/>
Email	<input type="text" value="erin.cassato@admis.com"/>
Home/Cell Phone	<input type="text" value="3122427000"/>
Work Phone	<input type="text"/>

By clicking "continue" the customer will be able to begin the signing process.

Previous

Continue

All fields required unless otherwise indicated.

Step 7: Customer Begins Signing Process



Edit Application Continue

Forms Required to Sign

In order to complete the application, the following forms are required to be electronically signed. Click **Continue** to begin signing forms.

Information regarding the forms can be found at <http://admis.com/contact/account-forms>.

If you need to go back and edit the application, click **Edit Application**. However, all form signatures will be revoked and all forms will need to be re-signed, all uploaded documents will also be deleted.

Form	Signer Name	Email	Signed
Individual / Joint or Sole Proprietorship	Erin E Cassato	erin.cassato@admis.com	No
Confidential Credit Information	Erin E Cassato	erin.cassato@admis.com	No
Exchange For Related Positions Acknowledgement	Erin E Cassato	erin.cassato@admis.com	No
Form W-9	Erin E Cassato	erin.cassato@admis.com	No
Customer Agreement	Erin E Cassato	erin.cassato@admis.com	No
Risk Disclosure Statement	Erin E Cassato	erin.cassato@admis.com	No
Risk Disclosure Statement For Futures And Options	Erin E Cassato	erin.cassato@admis.com	No
Electronic Trading And Order Routing Systems Disclosure Statement	Erin E Cassato	erin.cassato@admis.com	No
Application To Receive Online Account Access	Erin E Cassato	erin.cassato@admis.com	No
Application To Receive Customer Statement And Information By Email	Erin E Cassato	erin.cassato@admis.com	No

Edit Application **Continue**

Customer Acknowledges & Accepts by E-Signing



ADM Investor Services, Inc.

Online Application

Home

Upload Document

erin (erin.cassato@admis.com) ▾

Complete 0 of 10

Previous

Continue

A. INDIVIDUAL / JOINT or SOLE PROPRIETORSHIP

Account Entity	Individual Account
Account Type	Speculative
Discretionary Account	No

Individual:

Name	Erin E Cassato
Sole Proprietorship Name	
Date of Birth (m/d/yyyy)	06/21/1984
Marital Status	Single
Social Security Number	123456789
No. of Dependents	0
Address	141 W Jackson Suite 1600
City, State, Zip, Country	Chicago, Illinois 60604, United States
Home/Cell Phone	3122427000
Work Phone	

Signature: I acknowledge and accept.

Name:

Previous

Continue

Upload Feature:



E. CONFIDENTIAL CREDIT INFORMATION

Because ADM Investor Services, Inc. is responsible for the clearing of all of Customer's trades made through ADMIS, in effect, ADMIS is the initial guarantor to the Exchange clearing houses of any margin requirements which may be imposed on Customer's account. As such, ADMIS does not intend or undertake to use the following information for the purpose of limiting the Customer's Risk or to protect the Customer from Risk or unsuitable trading, but only for ADMIS's own business operations.

Upload Form

Option 1: Upload files from your computer.

Form:

File: **Select PDF or image File...**

Upload

Option 2: Scan the barcode below with your phone to upload forms with your camera.



Refresh Barcode

Uploaded Forms/Documents

Download	Form	Date Uploaded	Delete
----------	------	---------------	--------

Sign

Name:

Refresh **Close**

Customers are now able to upload documents such as the W-9, copies of Drivers License, etc. from their computer or their mobile device.

Customer must click **GREEN** Submit button to actually submit the application.



ADM Investor Services, Inc.

Online Application

Home

erincassato621 (admisdemo... ▼)

Complete 12 of 12

Upload Document

Previous

Submit



If you choose to do so, please upload the [Form W-8BEN-E](#), Proof of Residency now. Click **Upload Document** to upload now. Please contact your broker if you would like to fax or mail the document.

Your application is ready for submission.

Click "Submit" to submit your application now.

Upload Document

Previous

Submit

ADMIS reserves the right to request additional documentation to satisfy AML/KYC due diligence.

If an Application....

If an Application is rejected by the New Accounts Department for any reason, the customer will need to log back into the site with the username and password they created, click the icon to the far left (next to their name), update or amend the Application, re-sign all the forms, then submit the Application again.

If an application needs to be re-submitted: Once an application is signed & submitted and it is determined there needs to be a correction, the New Accounts Department will have the system automatically send the client a new e-mail letting them know their application needs editing. The e-mail will contain the link back to the application log on screen. When your client clicks on the link, they need to log back on – using the logon they created the first time. Note, the status of the Application now says “NEW.” He must then click the icon under “OPEN.” Have the customer look for the **RED** Edit button:



Edit Application

Upload Document

Continue

If the client needs to make a change to their application, they should click “EDIT APPLICATION” and chose the page (from the menu on the left) that needs to be corrected, make their change, and begin re-signing the application. Then click “CONTINUE”.

If the client needs to add a document to their application, they should click “UPLOAD DOCUMENT” to add the required document. This button can be found at the bottom of the screen before they begin signing the application and/or at the bottom of the last screen before they submit the application. Then they will click “CONTINUE”.

WARNING – if the client is editing a previously signed & submitted application, all signatures will be lost. The attachments (uploaded docs) will not be deleted.

Logging into the Broker ADMIN page from Members1st:

ADM Investor Services, Inc.

Menu Items

- Live Account
- Statements
- DataViewer
- Research
- Report Center
- Customer Center
- MAP
- Cash Manager

Search Simple Advanced

Office/Account

SalesCode

Acct Name

Use Related Account

Search Clear

Consolidated view

My Account(s)

Acct	↑	name
no account to display		

0 of 0

Applications Erin

- Account Info Center
- New Online App: Admin
- Online App: Admin

Currency: Transactions: All Refresh

Settled	Current	Change	Settled	Current	Change
---------	---------	--------	---------	---------	--------

Live Summarized Live Detailed

Contract (Default)	↑	Long	Short	Net	Market Price	Avg Price	Settled Price	Settled Value	Profit/Loss	Current Val.
--------------------	---	------	-------	-----	--------------	-----------	---------------	---------------	-------------	--------------

Broker Admin:



Applications

Open Submitted Approved Completed Office Legal Name Find Reload

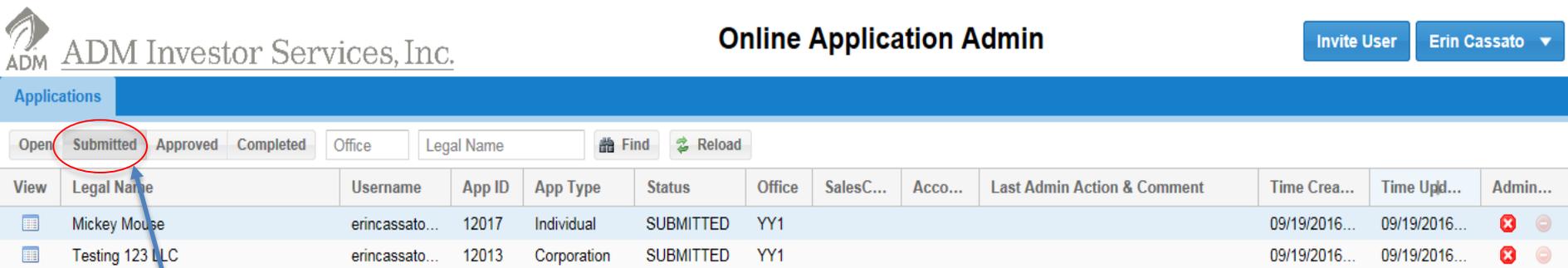
View	Legal Name	Username	App ID	App Type	Status	Office	SalesC...	Acco...	Last Admin Action & Comment	Time Crea...	Time Upd...	Admin...
	ABC Trust	kburket	11680	Trust	NEW	YY1				08/17/2016...	08/17/2016...	
	Lio LLC	kburket	10230	Limited Lia...	SIGNING	YY1				02/17/2016...	08/12/2016...	
	Kathy Bishop	kburket	11550	Individual	SIGNING	YY1			Rejected by Kathy Howe-Burket - bla...	07/29/2016...	08/08/2016...	
		erin	11383	Individual	NEW	YY1				07/08/2016...	07/08/2016...	

Open Status:

New: The customer is still working on the Survey Questions, but has not yet moved onto the signing process.

Signing: The customer is in the middle of signing the account docs, but has not yet submitted.

Broker Admin:



ADM Investor Services, Inc. Online Application Admin

Applications

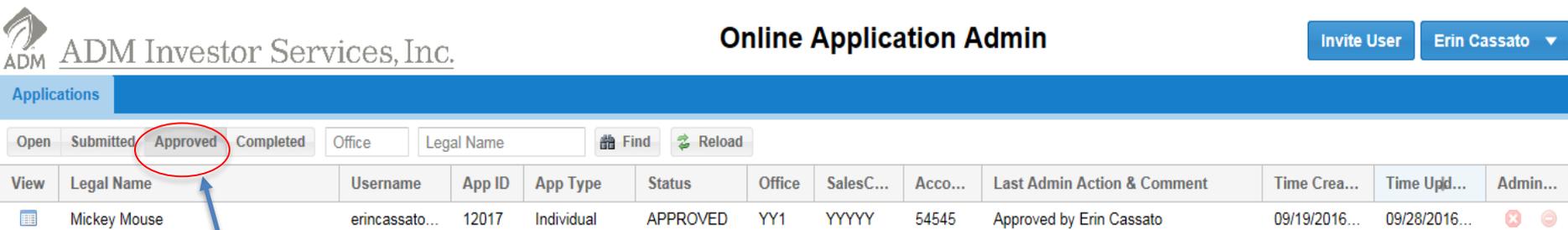
Open Submitted Approved Completed Office Legal Name Find Reload

View	Legal Name	Username	App ID	App Type	Status	Office	SalesC...	Acco...	Last Admin Action & Comment	Time Crea...	Time Upd...	Admin...
	Mickey Mouse	erincassato...	12017	Individual	SUBMITTED	YY1				09/19/2016...	09/19/2016...	✖ -
	Testing 123 LLC	erincassato...	12013	Corporation	SUBMITTED	YY1				09/19/2016...	09/19/2016...	✖ -

Submitted Status:

Submitted: The application has been submitted by the customer and is awaiting broker approval.

Broker Admin:



ADM Investor Services, Inc. Online Application Admin

Applications

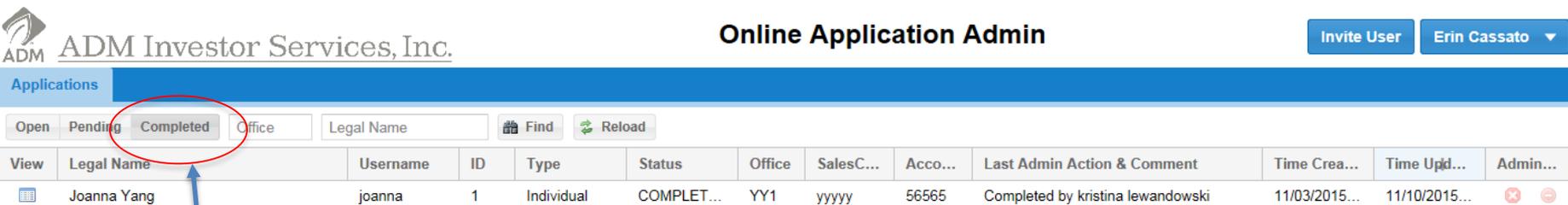
Open Submitted **Approved** Completed Office Legal Name Find Reload

View	Legal Name	Username	App ID	App Type	Status	Office	SalesC...	Acco...	Last Admin Action & Comment	Time Crea...	Time Upd...	Admin...
	Mickey Mouse	erincassato...	12017	Individual	APPROVED	YY1	YYYYY	54545	Approved by Erin Cassato	09/19/2016...	09/28/2016...	

Approved Status:

Approved: The application has been approved by the broker and is awaiting New Accounts Department approval.

Broker Admin:



ADM Investor Services, Inc. Online Application Admin

Applications

Open Pending **Completed** Office

Legal Name Find Reload

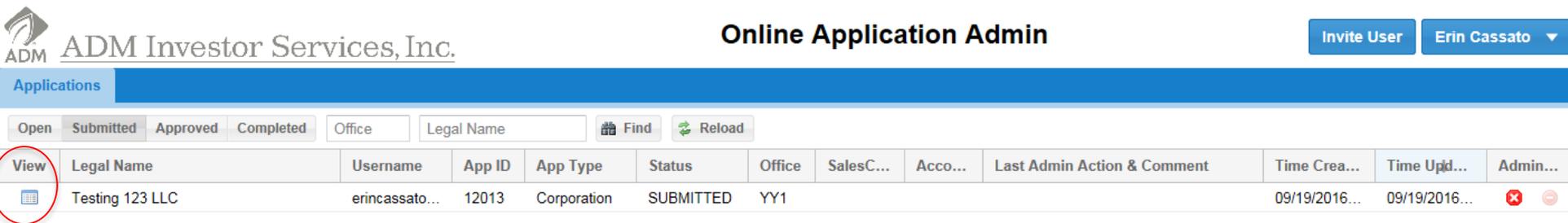
View	Legal Name	Username	ID	Type	Status	Office	SalesC...	Acco...	Last Admin Action & Comment	Time Crea...	Time Upd...	Admin...
	Joanna Yang	joanna	1	Individual	COMPLET...	YY1	yyyyy	56565	Completed by kristina lewandowski	11/03/2015...	11/10/2015...	✖ ⌵

Completed:

Completed: The account app has been reviewed and approved by the New Accounts Department and has been entered into the GMI Platform.

Broker Approval Process:

Click the icon under “VIEW” to view the account and approve. Please note, you can only approve Submitted Accounts.



ADM Investor Services, Inc. Online Application Admin

Applications

Open Submitted Approved Completed Office Legal Name Find Reload

View	Legal Name	Username	App ID	App Type	Status	Office	SalesC...	Acco...	Last Admin Action & Comment	Time Crea...	Time Upd...	Admin...
	Testing 123 LLC	erincassato...	12013	Corporation	SUBMITTED	YY1				09/19/2016...	09/19/2016...	 

DO NOT approve an Application until all required account opening documents have been submitted along with the Application.

Broker Approval Process



Applications #33 Erin E Cassato

Application Status: **SUBMITTED** [Approve](#) [Reject](#) [Download Application](#)

- Forms
- Individual / Joint or Sole Proprietorship
- Confidential Credit Information
- Exchange For Related Positions Acknowledgement
- Form W-9
- Customer Agreement
- Risk Disclosure Statement
- Risk Disclosure Statement For Futures And Options
- Electronic Trading And Order Routing Systems Disclos...
- Application To Receive Online Account Access
- Application To Receive Customer Statement And Infor...
- IDs - Employee ID

A. INDIVIDUAL / JOINT or SOLE PROPRIETORSHIP

Account Entity	Individual Account
Account Type	Speculative
Discretionary Account	No
Individual:	
Name	Erin E Cassato
Sole Proprietorship Name	
Date of Birth (m/d/yyyy)	06/21/1984
Marital Status	Single
Social Security Number	123456789
No. of Dependents	0
Address	141 W Jackson Suite 1600
City, State, Zip, Country	Chicago, Illinois 60604, United States
Home/Cell Phone	3122427000
Work Phone	

Make sure to download the account Application for storage

[Upload Form](#) [Download Form](#)

Signer Name	Title	Email	Status	Username	Date Created	Date Signed
Erin E Cassato		erin.cassato@admis.com	SIGNED	erin	11/10/2015 2:24 PM	11/10/2015 2:27 PM

Click here if you would like to download a specific form of the Application selected

Broker Approval Process



Applications #33 Erin E Cassato

Application Status: SUBMITTED

- Forms
 - Individual / Joint or Sole Proprietorship
 - Confidential Credit Information
 - Exchange For Related Positions Acknowledgement
 - Form W-9
 - Customer Agreement
 - Risk Disclosure Statement
 - Risk Disclosure Statement For Futures And Options
 - Electronic Trading And Order Routing Systems Disclos...
 - Application To Receive Online Account Access
 - Application To Receive Customer Statement And Infor...
 - IDs - Employee ID
-

A. INDIVIDUAL / JOINT or SOLE PROPRIETORSHIP

Account Entity: **Approve Application #33**

Account Type: I approve the opening of this trading account.

Assign Sales Code/Account

Office: YY1

Sales Code: YYYY1 Validate

Account (optional): 12345

Commissions

Default to office or salescode level? Yes No

Futures Commission

Day Trade: Overnight:

Commission to be charged: Half In/Half Out Round Turn

Options Commission

Day Trade: Overnight:

Commission to be charged: Half In/Half Out Up Front

▲ Email Comments to Admin (optional)

Here, you are able to approve the account.

Username	Date Created	Date Signed
erin	11/10/2015 2:24 PM	11/10/2015 2:27 PM

Once the account is approved by ADMIS New Accounts Department, the broker will receive an email informing them the account has been opened.

Broker Approval Process

ADM Investor Services, Inc. Online Application Admin

Applications #33 Erin E Cassato

Application Status: SUBMITTED Approve Reject

Forms

- Individual / Joint or Sole Proprietorship
- Confidential Credit Information
- Exchange For Related Positions Acknowledgement
- Form W-9
- Customer Agreement
- Risk Disclosure Statement
- Risk Disclosure Statement For Futures And Options
- Electronic Trading And Order Routing Systems Disclos...
- Application To Receive Online Account Access
- Application To Receive Customer Statement And Infor...
- IDs - Employee ID

A. INDIVIDUAL / JOINT or SOLE PROPRIETORSHIP

Account Entity

Account Type

Discretionary A

Individual:

Name

Sole Proprietor

Date of Birth (r

Marital Status

Social Security

No. of Depend

Address

City, State, Zip

Home/Cell Ph

Work Phone

Signer Name

Erin E Cassato

Approve Application #33

I approve the opening of this trading account.

Assign Sales Code/Account

Office: YY1

Sales Code: YYYY1 Validate

Account (optional): 12345

Commissions

Default to office or salescode level? Yes No

Futures Commission

Day Trade: Overnight:

Commission to be charged: Half In/Half Out Round Turn

Options Commission

Day Trade: Overnight:

Commission to be charged: Half In/Half Out Up Front

▲ Email Comments to Admin (optional)

Username	Date Created	Date Signed
erin	11/10/2015 2:24 PM	11/10/2015 2:27 PM

Here, you are able to add commission rates.

Once the account is approved by ADMIS New Accounts Department, the broker will receive an email informing them the account has been opened.