



# INDIVIDUAL APPLICATION FORM



Prior to completing this application form, it is essential that you have read and understood the following terms and conditions that will govern your trading account with ADS Securities LLC ("ADSS"), and which together with this application form, comprise our 'Client Agreement' with you: Risk Warning Notice; Terms of Business; Privacy Policy; Order Execution Policy; Conflicts of Interest Policy; Schedule of Charges

ADSS will use the information you provide in this application form to assess the level of appropriateness of the services and products we provide to you. Please ensure that all information you provide is accurate, and if any future circumstances occur that may alter this information, you are required to notify us in writing.

You should not proceed with this account application if you are unsure as to the nature of the risks involved in trading using the services provided by ADSS. Trading using leverage carries a high level of risk to your capital and it is possible that you lose more than your entire 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 current residential address as listed on the application.
  - MUST have been issued within the last 6 calendar months.
- **Financial Statement**  
(including bank, credit, or debit card statements and insurance policy)
  - MUST state current residential address as listed on the application.
  - MUST have been issued within the last 6 calendar months.
  - MUST be issued from a regulated financial institution.
- **Tenancy Agreement**
  - MUST state current residential address as listed on the application.
  - MUST be within the lease term.
- **Registered property purchase** (Issued in UAE only)
  - MUST state current residential address as listed on the application.
- **Bank Letter**
  - MUST state current residential address as listed on the application.
  - MUST have been issued within the last 6 calendar months.
  - MUST be issued from a regulated financial institution.
- **Reputable Company or School Letter**
  - MUST state current residential address as listed on the application.
  - MUST have been issued within the last 6 calendar months.
  - MUST be from a reputable company or accompanied by Trade License, Stamped and on Company Headed paper.
- **Local/national government issued documents**  
(Including Pension, Education, other Grants, and municipal tax records)
  - MUST state current residential address as listed on the application.
  - MUST have been issued within the last 6 calendar months.
  - MUST be issued from a government body.
- **Family/Partner Letter**
  - MUST state current residential address as listed on the application.
  - MUST have been issued within the last 6 calendar months.
  - MUST confirm relationship to the client, be accompanied by Identity and proof of address documents for the tenant/owner.

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

Referred By (for Referred Accounts Only)

Managed By (for Managed Accounts Only)

If your account will be a managed account, you will need to, amongst other items, execute a Limited Power of Attorney ("LPOA") in accordance with our requirements as set out in the Terms of Business.

### 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)

Is the billing address different than the address provided above?

Yes  No

Billing Address

Billing City/Town

Billing Zip/Postal Code

Billing Country/State

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](http://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

- Employed       Self-employed       Unemployed       Retired  
 House Wife       Student       Other, please specify:

### Industry

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

Company/Business Name

Position

### Employment Level

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

## 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 \$5,000       \$5,000 - \$24,999       \$25,000 - \$49,999       \$50,000 - \$249,999  
 \$250,000 - \$499,999       \$500,000 - \$1,000,000       \$1,000,000 or more

### Source of Funds

- Salary       Savings/Investments       Family Income/Inheritance       Pension  
 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 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. Conflict of Interest

Please read the below declaration carefully. As a regulated entity, we are required to assess if there is a conflict of interest prior to opening an Account. If you have any doubts or concerns, we recommend that you provide full and complete details of any relationships you may have that fit the criteria stated below:

- a. ADSS;
- b. ADSS's board of directors;
- c. any entity within the ADSS group; and
- d. any capital market institutions, any companies publicly listed in the UAE, any other entities licensed by SCA or the board of directors of any such entities.

I confirm that I have no relationship with any of the above parties.

I declare that I have a relationship with

## 7. 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. I understand that if my losses exceed the funds in my account 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 Warning Notice
- Terms of Business
- Privacy Policy
- Order Execution Policy
- Conflicts of Interest Policy
- Schedule of Charges

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)