

**ADDENDUM TO ACCOUNT DOCUMENTS**  
**FOR JOINT ACCOUNT AND ENTITY ACCOUNT HOLDERS**

**Joint Accounts and All Entity Accounts (including Corporations, Partnerships, Trusts and Limited Liability Companies)**

1. What is the name of the entity?

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2. What type of legal organization is the entity?

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3. What is the state and date of formation?

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4. Please provide the name(s) of the person(s) who has/have authority to trade the entity's account.

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5. Are all of the persons set forth in response to Question No. 4, above owners of the entity? If not, please explain their relationship with the entity.

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6. Please provide the names of all of the owners of the entity (If a trust, please provide the names of the trustee and all of the beneficiaries.)

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7. Are any of the persons set forth in response to Question No. 5 related by birth or marriage? (If "Yes", please explain.)

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8. Will anyone or any other entity receive compensation as a result of managing or trading the account? (If “Yes”, please provide identity of party and terms of compensation.)

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9. Is, or was, the entity or any of its owners: (a) a futures commission merchant, introducing broker or affiliated with an FCM or IB; (b) members of the National Futures Association (“NFA”), the Financial Industry Regulatory Authority (“FINRA”), or the National Association of Securities Dealers (“NASD”); or (c) a member of any commodity or securities exchange? (If “Yes”, please explain.)

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10. Is futures or forex trading the principal business of the entity? (If “No”, please explain.)

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11. Does the entity have an offering circular, prospectus, private placement memorandum or a disclosure document? (If “Yes”, please explain.)

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12. Has the entity ever engaged, or is it currently engaged, in soliciting interests for participation or investments in the entity? (If “Yes”, please explain)

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13. Are any of the persons set forth in response to Question 4 above, registered as a commodity pool operator, or an associated person thereof, with the CFTC?

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\*For purposes of the questions set forth above, an “owner” is someone that has either a direct or indirect beneficial or ownership interest in the entity. For any trusts, “owner” includes all beneficiaries and trustees.

14. If any of the persons (“account managers”) set forth in response to Question 4 are exempt from registration as a commodity pool operator, please indicate the applicable exemption below (check as applicable):

\_\_\_ a. Exemption Under CFTC Regulation 4.13(a)(1):

- (i) None of the account managers receive any compensation or other payment, directly or indirectly, for operating the entity/pool, except reimbursement for the ordinary administrative expenses of operating the entity/pool, AND
- (ii) Each account manager operates only one commodity pool (including the entity/pool) at any time, AND
- (iii) Each account manager is not otherwise required to register with the CFTC and is not a business affiliate of any person required to register with the CFTC; AND
- (iv) No account manager or any other person involved with the entity/pool does any advertising in connection with the entity/pool for purposes of this section; advertising includes the systematic solicitation of prospective participants by telephone or seminar presentation.

\_\_\_ b. Exemption Under CFTC Regulation 4.13(a)(2):

- (i) The total gross capital contributions each account manager received for units of participation in all of the pools (including the entity) that each account manager operates, or that each account manager intends to operate, does not, in the aggregate, exceed \$400,000; AND
- (ii) None of the pools operated by any account manager has more than 15 participants at any time.

\_\_\_ c. If any other exemption or exclusion applies, please state the basis for exemption from registration or exclusion from the definition of a commodity pool operator, and refer to a specific rule or other authority.

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If any of the information set forth in your responses to the questions above changes or is no longer correct, please notify PFGBEST immediately.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Customer

Print Name: \_\_\_\_\_

Title: \_\_\_\_\_

Name of Customer: \_\_\_\_\_