

# First Futures Division of Refco, LLC

## Financial Statement

Please read and check the appropriate box before completing the application:

- Individual. I am applying for an account in my name only and I am not relying on or listing assets which we are jointly owned as a basis for repaying the credit applied for.
- Joint. We are applying for a joint account.
- Partnership, Corporate or Limited Liability Company.

### Information regarding applicant:

APPLICANT NAME (FIRST, M.I., LAST) PLEASE PRINT

SOCIAL SECURITY NUMBER

PRESENT STREET ADDRESS

HOME TELEPHONE NUMBER

CITY, STATE, ZIP

YEARS AT PRESENT ADDRESS

EMPLOYER

DATE OF BIRTH

TYPE OF BUSINESS

BUSINESS TELEPHONE NUMBER

POSITION

YEARS WITH PRESENT EMPLOYER

BUSINESS STREET ADDRESS

CITY, STATE, ZIP

### Information regarding co-applicant: (to be filled out only if applying for a joint account)

CO-APPLICANT NAME

SOCIAL SECURITY NUMBER

PRESENT STREET ADDRESS

HOME TELEPHONE NUMBER

CITY, STATE, ZIP

YEARS AT PRESENT ADDRESS

EMPLOYER

DATE OF BIRTH

POSITION

BUSINESS TELEPHONE NUMBER

BUSINESS STREET ADDRESS

CITY, STATE, ZIP

## STATEMENT OF FINANCIAL CONDITION OF APPLICANT(S)

The following reflects the financial condition of the undersigned applicant as of \_\_\_\_\_ and is submitted for the purpose of procuring, establishing and maintaining an account with First Futures, Div. of Refco.

Yes, I have included a copy of last year's tax return.

Fill all blanks to the nearest hundred; write "NO" or "NONE" where necessary to complete information.

### ASSETS<sup>(1)</sup>

FROM SCHEDULE A CASH AND CASH ACCOUNTS		
FROM SCHEDULE C GOVERNMENT SECURITIES		
FROM SCHEDULE C LISTED SECURITIES		
FROM SCHEDULE C UNLISTED SECURITIES		
FROM SCHEDULE B ACCOUNTS AND NOTES RECEIVABLE		
FROM SCHEDULE D CASH VALUE LIFE INSURANCE		
FROM SCHEDULE E REAL ESTATE OWNED (PERSONAL RESIDENCE)		
FROM SCHEDULE J REAL ESTATE OWNED (NON-PERSONAL RESIDENCE)		
IRA/KEOGH ACCOUNTS		
FROM SCHEDULE F DEFERRED COMPENSATION PLANS		
AUTOMOBILE(S)		
OTHER PERSONAL PROPERTY		
PARTNERSHIP (PROPRIETORSHIP EQUITY) <sup>(2)</sup>		
OTHER ASSETS (ITEMIZE)		
<b>TOTAL ASSETS</b>		

### LIABILITIES

FROM SCHEDULE H NOTES PAYABLE - BANKS SECURED		
FROM SCHEDULE H NOTES PAYABLE - BANKS UNSECURED		
FROM SCHEDULE H NOTES PAYABLE - OTHERS		
FROM SCHEDULE D LIFE INSURANCE LOANS		
MARGIN ACCOUNTS		
ACCOUNTS PAYABLE		
FROM SCHEDULE E & J REAL ESTATE MORTGAGES		
REAL ESTATE TAX		
DEFERRED/UNPAID INCOME TAXES		
CREDIT CARDS		
MERCHANTS		
OTHER DEBTS (ITEMIZE)		
<b>TOTAL LIABILITIES</b>		
<b>NETWORTH TOTAL ASSETS MINUS TOTAL LIABILITIES</b>		

1. If any asset is owned other than by the undersigned individually, such as in trust, joint tenancy, or nominee name, indicate this in the appropriate schedule on page 4.
2. If significant, attach a current balance sheet and profit and loss statement of the business.

## INCOME, EXPENDITURES, AND CONTINGENT LIABILITIES

ANNUAL INCOME FOR THE YEAR ENDED _____	ANNUAL FIXED VARIABLE EXPENSES _____	CONTINGENT LIABILITIES _____
SALARY (GROSS) _____	HOME MORTGAGE PAYMENT (PRINCIPAL & INT.) _____	AS GUARANTOR CO-MAKER _____
BONUS AND COMMISSIONS _____	LOAN PAYMENTS (EXCLUDE MORTGAGES) _____	ON LEGAL CLAIMS _____
DIVIDENDS _____	TAXES (CITY, STATE, FEDERAL) _____	ON LETTERS OF CREDIT _____
INTEREST _____	ALIMONY, CHILD SUPPORT, MAINT.* _____	OTHER (DETAIL) _____
REAL ESTATE INCOME (NET) _____	OTHER (ITEMIZED) _____	
ALIMONY, CHILD SUPPORT, MAINT.* _____		
OTHER INCOME (DESCRIBE) _____		



**H. LOANS OUTSTANDING FROM BANKS, FINANCE COMPANIES, OR OTHER**

LENDER	AMOUNT BORROWED	DATE MADE	DATE DUE	INTEREST RATE	AMOUNT OUTSTANDING	COLLATERAL

**I. REFERENCES: BANKS, FINANCE COMPANIES, OR OTHER SOURCES OF PREVIOUS CREDIT**

LENDER	BORROWER	DATE OBTAINED	HIGH CREDIT	PLEGGED YES/NO

**J. REAL ESTATE NOT USED AS A PERSONAL RESIDENCE**

PROPERTY #1:

DESCRIPTION, LOCATION, & DATE ACQUIRED: \_\_\_\_\_

TITLE IN NAME(S) OF: _____	PERCENT OWNED: _____	COST OF ENTIRE PROPERTY: _____
ARE YOU OBLIGATED ON MORTGAGE OR OTHER DEBT INSTRUMENT: _____	MARKET VALUE OF YOUR OWNERSHIP INTEREST: _____	APPRAISED MARKET VALUE OF ENTIRE PROPERTY: _____
YOUR SHARE OF ANNUAL GROSS INCOME: _____	YOUR SHARE OF ANNUAL DEBT SERVICE: _____	YOUR SHARE OF MORTGAGE BALANCE OR OTHER DEBT: _____

PROPERTY #2:

DESCRIPTION, LOCATION, & DATE ACQUIRED: \_\_\_\_\_

TITLE IN NAME(S) OF: _____	PERCENT OWNED: _____	COST OF ENTIRE PROPERTY: _____
ARE YOU OBLIGATED ON MORTGAGE OR OTHER DEBT INSTRUMENT: _____	MARKET VALUE OF YOUR OWNERSHIP INTEREST: _____	APPRAISED MARKET VALUE OF ENTIRE PROPERTY: _____
YOUR SHARE OF ANNUAL GROSS INCOME: _____	YOUR SHARE OF ANNUAL DEBT SERVICE: _____	YOUR SHARE OF MORTGAGE BALANCE OR OTHER DEBT: _____

Yes  No Are any assets pledged or debt secured except as shown?

The undersigned ("Applicant") understands that First Futures Division of Refco (including each of its divisions) ("First Futures") is relying on information that Applicant has provided in this Financial Statement (including the designation of Property as individually or jointly held), in deciding whether to establish or continue an account relationship (with Applicant or a third party for whom Applicant agrees to execute or continue to guaranty in favor of First Futures), which may include deciding whether to execute to guaranty a loan for the benefit of Applicant, to extend on the basis that Applicant has requested it or had received it in the past, or any extension or renewal of such credit. Applicant warrants that all information provided to First Futures is true and correct on the date that it is made and that First Futures may consider the information as continuing to be true and correct until First Futures receives written notice from Applicant of a change. Applicant authorizes First Futures to conduct an investigation and to obtain any information necessary to verify statements made in the documents submitted to First Futures or any lending institution, including requesting a consumer report on Applicant. Applicant further agrees that First Futures may investigate Applicant's credit standing at any time and First Futures, in its sole and absolute discretion, may share this information with its affiliates. If such an investigation is conducted, Applicant understands and agrees that Applicant has a right to make a written request within a reasonable period of time, for a complete and accurate disclosure of the nature and scope of such investigation. Applicant authorizes First Futures to report its experience with Applicant to those who may lawfully receive such information, including lender. On request, Applicant will provide First Futures with updated information.

Entity Name: \_\_\_\_\_ By: \_\_\_\_\_

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

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

# FIRST FUTURES PROSPECTIVE CLIENT APPLICATION

ENTITY NAME: \_\_\_\_\_

PRINCIPALS: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

PHONE # \_\_\_\_\_

SSN # \_\_\_\_\_

(sole proprietors only)

E-MAIL ADDRESS (only if customer wants statements e-mailed): \_\_\_\_\_

1) EXCHANGE(S) TRADING ON: \_\_\_\_\_ ACRONYM: \_\_\_\_\_

2) TYPE OF ACCOUNT BEING OPENED: \_\_\_\_\_

3) IS THE ACCOUNT A CHANGE OF STATUS?  NO  YES (Previous Entity Name: \_\_\_\_\_)

▪ Was there a Guaranty for the Previous Entity?  YES  NO

▪ Name of Guarantor: \_\_\_\_\_ Amount: \_\_\_\_\_

4) WILL THE ACCOUNT BE GUARANTEED?  YES  NO

▪  Limited (Amount: \$ \_\_\_\_\_)  Unlimited

▪ Guarantor (s): \_\_\_\_\_

5) WILL THE ENTITY USE ANY OF THE FOLLOWING (check all that apply):

REDI Terminal  REDI Handheld  GLOBEX Terminal  Project A

6) DOES ENTITY OWN OR LEASE A SEAT? \_\_\_\_\_ WHICH DIVISION? \_\_\_\_\_

7) HISTORY:

Previous Clearing Firm: \_\_\_\_\_ Reasons for Leaving: \_\_\_\_\_

Previous Experience: \_\_\_\_\_

Will there be a **Transfer of Positions**?  NO  YES (If yes, entity is required to **attach copies of trading sheets**)

Industry References: \_\_\_\_\_

What Products Will You Trade? \_\_\_\_\_

Do you have any Outstanding Debts with First Futures or any other Clearing Firms?  NO  YES (Amount: \$ \_\_\_\_\_)

Is the Entity dual clearing?  NO  YES (If yes, firm: \_\_\_\_\_)

Initial Account Deposit/Capitalization: \$ \_\_\_\_\_

Comments: \_\_\_\_\_

The duly authorized representative of the Entity referenced above represents and warrants that the information provided herein is true and correct.

By: \_\_\_\_\_ Date: \_\_\_\_\_