

Dear Trader,

Congratulations on selecting Field Financial Group as your commodities brokerage firm. To download and complete account documentation, please follow the instructions below:

1. Print these instructions (including the Supplemental forms).
2. Select and download the appropriate account forms (Individual/Joint or Corporate).
3. Complete all required documentation from Steps 1 and 2.
4. Make a copy of driver's license for each account holder. This is required pursuant to the 2002 USA Patriot Act.
5. Mail all of the above documentation to:

**FIELD FINANCIAL GROUP**  
**11735 Bowman Green Drive**  
**Reston, VA 20190**

Once we have received all of your account documentation, a Field Financial Group Account Representative will contact you.

If you have any questions, please call us at **1-800-800-6304**.

We look forward to servicing your account,  
Field Financial Group

Futures and Options trading involves risk. Only risk capital should be used.

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## ARBITRATION AGREEMENT

The following arbitration clause will be deemed a part of and incorporated into the entire Customer Agreement of Field Financial Group ("FFG") ONLY when signed below by the Customer, agreeing to abide by and consenting to this arbitration clause (all terms used herein will unless otherwise indicated have the same meaning as in the Customer Agreement, and the Arbitration Agreement will be deemed part of the Customer Agreement as if included therein):

Any controversy among FFG or any of its affiliates and the Customer arising out of, relating to the Customer Agreement or otherwise relating to Customer's Account(s) shall be, except as provided below, resolved by arbitration in accordance with Part 180 of the regulations promulgated under the Commodity Exchange Act. The Customer acknowledges that signing this Arbitration Agreement was not made a condition to utilize FFG's services. Any award rendered in such arbitration shall be final and binding on and enforceable against the Customer in accordance with the laws of the state of New York. Furthermore, by signing this Arbitration Agreement, the customer hereby waives any right or claim for attorneys' fees and/or punitive damages.

At such time that Customer notifies FFG that Customer intends to submit a claim to arbitration or at such time that FFG notifies Customer of FFG's intent to submit a claim to arbitration, Customer will have the opportunity to elect a qualified forum for conducting the proceeding. Within ten (10) business days after receipt of such notice from Customer or at the time FFG so notifies Customer, FFG must provide Customer with a list of three (3) or more organizations whose procedures qualify them to conduct arbitrations in accordance with the requirements of Regulation 180.2, together with a copy of the rules of each forum listed. The Customer shall, within forty-five (45) days after receipt of this list and notice, notify FFG of the organization selected. The Customer's failure to provide such notice shall give FFG the right to select an organization from the list.

FFG will pay any incremental fees which may be assessed by a qualified forum for provision of a mixed panel, unless the arbitrators in a particular proceeding determine that the Customer has acted in bad faith in initiating or conducting that proceeding.

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

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CLAIMS OR COUNTERCLAIMS WHICH YOU OR FIELD FINANCIAL GROUP 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 AGREEMENT. IN THE EVENT A DISPUTE ARISES, YOU WILL BE NOTIFIED IF FIELD FINANCIAL GROUP INTENDS TO SUBMIT THE DISPUTE TO ARBITRATION. IF YOU BELIEVE A VIOLATION OF THE COMMODITY EXCHANGE ACT IS INVOLVED, AND IF YOU PREFER TO REQUEST A SECTION 14 "REPARATIONS" PROCEEDINGS BEFORE THE CFTC, YOU WILL HAVE FORTY-FIVE (45) DAYS FROM THE DATE OF SUCH NOTICE IN WHICH TO MAKE THAT ELECTION.

The Customer is advised that if the Customer seeks reparations under Section 14 of the Commodity Exchange Act and Part 12 of the Regulations promulgated thereunder, and the CFTC declines to institute reparation proceedings, the claim or grievance will be subject to the pre-existing arbitration agreements and aspects of the claim or grievance that are not subject to the reparations procedure may be required to be submitted to the arbitration or other dispute settlement procedures set forth in the pre-existing arbitration agreement.

If, by reason of any applicable statute, exchange rule or otherwise (other than by reason of Customer's entitlement to commence reparations proceedings under Section 14 of the Commodity Exchange Act and Part 12 of the regulations promulgated thereunder), Customer's advance agreement to submit a controversy to arbitration would not be enforceable by FFG, then this provision shall not permit Customer to force FFG's advance agreement to submit to arbitration. Any award rendered in such arbitration shall be final and binding on and enforceable against the Customer in accordance with the laws of the state of New York.

YOU NEED NOT SIGN THIS AGREEMENT TO OPEN AN ACCOUNT WITH FFG. *SEE*, 17 CFR 180.1-180.5. HOWEVER, YOU MAY ACKNOWLEDGE YOUR CONSENT TO ARBITRATION BY SIGNING BELOW.

\_\_\_\_\_  
Name

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

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## ADDITIONAL RISK DISCLOSURE

**IF** you have a *Net Worth* and/or an *Annual Income* less than \$50,000 (which is indicated on the financial section of the account opening documentation),

**OR IF** you are not within the age range of 21 to 65 years old,

**OR IF** you have no previous investment experience in futures/commodities,

**THEN** you need to sign this disclosure to open an account.

1. The amount of funds you have committed to your futures/options account might be overly substantial in relation to your annual income/net worth.
2. Based on your personal information and investment experience, futures/options trading might be too risky of an investment strategy.

Futures and options trading is considered a risky form of investment. If you have pursued conservative forms of investment in the past, you may wish to study futures and trading further before considering an investment. You must realize that you could sustain a total loss of all funds you deposit with your broker as initial margin as well as substantial amounts of additional capital.

We ask that you acknowledge, by your signature below, that the funds you have committed are purely risk capital and such investment will not jeopardize your style of living, nor will it detract from your future retirement program. You further acknowledge that you fully understand the nature of such investment, the risks involved, and that your obligations to others will not be neglected by possible loss of funds invested.

I ACKNOWLEDGE RECEIVING A COPY OF THE **FIELD FINANCIAL GROUP** ADDITIONAL RISK DISCLOSURE STATEMENT. I HAVE READ AND I UNDERSTAND IT.

\_\_\_\_\_  
Name

\_\_\_\_\_  
Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

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**Form E-3 Notification of Fees and Charges  
Self-Directed Accounts (Online and Verbal)  
Introducing Broker: Field Financial Group**

**Account Name:** \_\_\_\_\_

The following charges are applicable to your **Self-Directed** (Online and/or Verbal) Trading Account with Field Financial Group.

*Exchange and Brokerage fees are normally absorbed by Field Financial Group (SEE FOOTNOTE\*).*

**Online Futures and Options** (\$4.98 Flat per side for E-Mini & Mini contract)

<b><u>E-Mini &amp; Mini contracts</u></b>	<b><u>All other U.S. commodities</u></b>
Commission: \$2.97	\$8.97 per side per contract ((\$25.00 per round turn if starting equity is less than \$3,000)
NFA Fees: \$ .01	\$ .01 per side per contract
\$2.98 FLAT per side	\$8.98 FLAT per side

**Verbal Order Placement for all U.S. Futures and Options Contracts** (\$19 FLAT per round-turn per contract)

Commission: \$18.98	per round-turn per contract ((\$25.00 per round turn if starting equity is less than \$3,000)
NFA Fees: \$ .02	per round-turn per contract
\$19 FLAT per round-turn	

**Transaction Costs (only when applicable)** \* (see footnote)

Exchange Fees:	\$1.10 to \$2.70 per round-turn per contract * (see footnote)
Electronic Exchange Transaction Fee:	\$0.05 to \$0.20 per side per contract
Wire Transfers:	\$30.00 per wire in U.S. \$40.00 outside U.S.
Returned checks:	\$50.00 per check
Stop payment requests initiated by customer:	\$50.00 per request
Account Transfer Fee:	\$50.00 per account
Delivery charges:	Varies on commodity contract
Night Bonds and Globex:	\$5.00 per side per contract
Night Trades:	\$1.00 - 3.00 per side per ticket
EFM trades:	\$1.75 per side per contract
Inactive account fee:	\$10.00 per month if balance is \$499.99 or less
Real-Time Quotes/Charts:	\$0.01 each above 200 quotes/charts per month
Paper Daily Statements:	\$1.00 per U.S. mailing / \$2.00 per Foreign mailing
Electronic Daily Statements:	FREE

**Treasury Bill Policy**

MF Global offers customers the option of using their account equity to purchase Treasury Bills. Instructions to purchase, liquidate, or roll over Treasury Bills must be received by 8:15 AM CST to be processed on the same day. All requests submitted after 8:15 AM CST will be processed the next business day.

A transaction cost of \$50.00 will be charged each time you buy, break, or roll forward a T-Bill.

If your account contains a T-Bill and becomes a cash debit, you will be required to cover that debit in one day. Failure to do so will necessitate the breaking of your T-Bill with your account being charged for the resulting transaction. For this reason, we suggest you maintain a portion of your account in cash.

**Surcharges that Field Financial Group does not absorb**

Transaction fees and Floor Brokerage charges on certain foreign exchanges (e.g. LIFFE, MATIF) markets will in most instances, depending on the commodity purchased, be limited to a maximum of \$8.00. In some cases these charges may exceed \$8.00. In addition, the Chicago Board of Trade and the Mid-Am both charge an additional clearing surcharge for an option that expires worthless. The CBOT charge is \$0.50 per contract and the Mid-Am charge is \$0.10.

**I acknowledge receipt of Notification of Fees and Charges/T-Bill Policy applicable to my account with Field Financial Group.**

\_\_\_\_\_  
**Signature**

\_\_\_\_\_  
**Date**

\_\_\_\_\_  
**Joint Owner Signature, if any**

\_\_\_\_\_  
**Date**

\* Field Financial Group will normally absorb these charges for as long as you maintain a Self-Directed Account and meet initial starting equity requirements when you open the account. Exchange and NFA fees are subject to change, however, and Field Financial Group reserves the right to pass on any additional costs incurred by Field Financial Group, the exchanges, the NFA, and/or the clearing firm.

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## How to Add Funds to Your Trading Account:

- ✓ All funds must be drawn from a bank account in the name of the holder of the Commodity Trading Account.
- ✓ Cashier checks will only be accepted if the bank has provided the name of the remitter on the check that matches the account title
- ✓ Be sure you are the originator on a bank wire.
- ✓ Money Orders and Third Party Checks and Wires **WILL NOT BE ACCEPTED.**

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### Wires:

#### Wire Funds to:

**Chase NYC**  
ABA#: 021-000-021

**For credit to:**  
MF Global  
Account #: 9102591055

**For further credit:**  
Customer's Name  
Field Financial Group  
Customer's Account Number  
(if assigned)

#### Wire T-Bills and T-Notes to:

Bank of New York/Harcus  
ABA#: 021-000-018

**For credit to:**  
MF Global  
Customer Account#: 217-9554

**For further credit:**  
Customer's Name  
Field Financial Group  
Customer's Account Number  
(if assigned)

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### Checks:

There is a 10 business-day hold on all personal checks.

#### **Make all checks payable to:**

**MF GLOBAL**

#### **Mail to:**

Field Financial Group  
11735 Bowman Green Dr  
Reston VA 20190

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