



ADM Investor
Services, Inc.

FX Customer Onboarding Profile Supplement

1. General Customer Information

- a. Broker:
- b. Customer Name:
- c. Exhibit I below that provides product and limit information must be completed
- d. Provide an organization chart of legal entities including parent and subsidiaries, noting country of domicile and if a regulated financial institution.

2. Description of Customer's Business

3. Financial Resources and Credit

- a. If the firm has parent(s) legal entities and or material individual principal owners provide financial support please provide the most recent current year to date and past 2 years of financial statements.
- b. If required, we ask if affiliates or individual principal owners are able to provide a financial guaranty.
- c. If customer funds will be used as a liquidity source to fund margin requirements please provide details of the firm's authority to do so and ADMIS' priority security position.
- d. Provides details of the company's borrowing or loans taken including identifying assets pledged as collateral to lenders or other parties.
- e. Provide a description or attach copy of the company's liquidity policy.

4. Risk Management

- a. Please provide an organization chart that includes trading and risk management and reporting lines to the most senior executive.
- b. If the firm has a credit and or risk committee please describe how it functions including the delegation of authorities to set, approve and revoke customer or counterpart limits.
- c. Provide experience and qualifications of those individuals directly responsible for oversight of trading and risk management:



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- d. Provide details of whether the firm matches each customer position with that of a counterpart or allows for intra-day or overnight exposures.
- e. Provide the country from which funds will originate and what time zone:
- f. Provide the name and branch of the financial institution from which margin and settlement funds will originate:
- g. Provide details of how the company would intends to meet margin calls or fund deficits within 1 hour if required.
- h. Provide a copy of the firm's written risk policy and procedures.

5. Compliance

- a. Provide list of regulators with applicable registrations or disclose why regulation is not required.
- b. Provide the AML Policy or a statement about AML Procedures and Controls.



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EXHIBIT I: Customer Activity Profile and Limit Request

- 1 Customer financial statement base currency:
- 2 Account collateralized as follows: Credit Margin
- 3 Account will be setup for: Delivery (DVP) Cash
- 4 Initial USD NOP Limit Requested:
- 5 Initial trading platform requested:
- 6 Expected monthly USD equivalent notional volume:
Limit is based on available margin up to the maximum NOP.
- 7 Instrument Format Request:
- | | |
|---------------------------|--|
| Same Day | |
| Next Day | |
| Spot | |
| Forwards with tenor limit | |
- 8 Currency Pair Format Request:
- | | |
|----|--|
| a. | |
| b. | |
| c. | |
| d. | |
| e. | |
| g. | |
| h. | |
| i. | |
| j. | |
- A list may be attached.