



## **NOTIFICATION TO FOREIGN CUSTOMERS**

PLEASE BE ADVISED THAT Regulation 15.05 of the United States Code of Federal Regulations (CFR) establishes MB Trading Futures, Inc ("MBTF") as your agent for purposes of accepting delivery and service of any communication issued by or on behalf of the Commodity Futures Trading Commission (CFTC) to you as a foreign broker or foreign trader with respect to any futures or options contracts which are or have been maintained in your accounts carried by MBTF or delivery of any communication issued by or on behalf of the CFTC to MBTF pursuant to such agency constitutes valid and effective service or delivery upon the foreign broker, the customer of the foreign broker or the foreign trader. Also, pursuant to this regulation, in addition to MBTF acting as your agent, your introducing broker, if your account was introduced to MBTF, shall also be deemed to be your agent for purposes of service and/or delivery of communication.

PLEASE BE FURTHER ADVISED THAT, the CFTC, pursuant to Regulation 18.07 CFR, may require any trader located outside of the United States or its territories to comply with the filing of various reports with the CFTC, and to file such reports within one business day after a special call upon such trader by CFTC.

PLEASE BE FURTHER ADVISED THAT, in the event the CFTC, pursuant to Regulation 21.03 CFR, issues a call for information on the account of a foreign trader, MBTF, as your agent, may be required to provide any and all information concerning your account as specified in the above cited regulation, including but not limited to, your name and address and the name and address of any person having a ten (10) percent or more beneficial interest in your account, the total open futures and options position in your account, and the number of futures contracts against which delivery notices have been issued or received or against which exchanges of futures for cash have been transacted for the period of time specified in the call.

I, the undersigned, hereby acknowledge receipt of the above NOTICE TO FOREIGN TRADER and affirm that I have read and understood its contents.

\_\_\_\_\_  
Primary Customer Signature

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

\_\_\_\_\_  
Date

\_\_\_\_\_  
Joint Customer Signature

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

\_\_\_\_\_  
Date

**FORM W-8 SERIES SELECTION AND FORM W-9 TAXPAYER IDENTIFICATION NUMBER AND CERTIFICATION**

Name \_\_\_\_\_

Account Number (to be entered by MBTF) \_\_\_\_\_

Phone Number \_\_\_\_\_ Phone Number \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_ Country \_\_\_\_\_

Unless you complete either the W-8 or the W-9 sections (i.e. you fail to furnish us with the appropriate W-8 Form or with the correct taxpayer identification number), MBTF must withhold between 30% or 31%, whichever is applicable, of the withdrawals and payments from your account.

**W-8 Section: Check appropriate box below if this is the account of a foreign person meeting one of the following definitions:**

- A beneficial owner solely claiming foreign status or treaty benefits - Form W-8BEN
- A foreign partnership - Form W-8ECI or W-8IMY
- A foreign government, international organization, foreign central bank of issue, tax exempt organization or private foundation - Form W-8ECI or W-8EXP
- A person acting as an intermediary - Form W-8IMY
- A person claiming an exemption from US withholding on income effectively connected with the conduct of a trade or business in the United States - Form W- 8ECI

**PART I – Taxpayer Identification Number**

For United States citizens, legal entities, or residents, provide taxpayer identification number. For most individual taxpayers the taxpayer identification number is the social security number. NOTICE: For individual, joint, custodian and sole proprietorship the social security number is to be used.

\_\_\_\_\_ OR \_\_\_\_\_  
Social Security No. Employer Identification No.

**Part II – For Payees Exempt From Backup Withholding**

Check the box if you are exempt from backup withholding, and enter the correct taxpayer identification number in Part I  
 (Check here)

Please check the category under which the exemption is claimed:

- Corporation, Domestic
- Corporation, Foreign Account
- Tax Exempt Entity, Section 501 (a) Trust
- Foreign Person (see W-8 section)
- Trusts taxed as Corporations
- Bank Common Trust
- Entity registered under Investment Company Act of 1940
- Other \_\_\_\_\_
- Individual Retirement
- Real Estate Investment

**Part III – Certification**

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding.
3. Certification Instructions — You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct taxpayer identification number.

\_\_\_\_\_  
Primary Customer Signature

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

\_\_\_\_\_  
Date

\_\_\_\_\_  
Joint Customer Signature

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

\_\_\_\_\_  
Date