



**LIMITED TRADING AUTHORIZATION**

(Authorization limited to purchases and sales of foreign currency transactions only)

The undersigned hereby authorizes \_\_\_\_\_ as the undersigned's agent and attorney-in-fact (Authorized Agent) to buy, sell (including short sales) and trade in on a cash, spot or forward basis (collectively "forex"), in accordance with your terms and conditions for the undersigned's account and risk, and in the undersigned's name or number on your books.

This authorization is limited to purchase and sales transactions only and does not afford the Authorized Agent authority to transfer securities and/or disburse funds from the undersigned's account.

You are authorized to follow the instructions of the Authorized Agent in every respect concerning the undersigned's account with you except as otherwise stated above. In all matters and things aforementioned, as well as in all other things necessary or incidental to the furtherance or conduct of the account of the undersigned, the Authorized Agent is authorized to act for the undersigned and in the undersigned's behalf in the same manner and with the same force and effect as the undersigned might or could do.

This authorization and indemnity shall benefit you, your successors and assigns, as well as introducing brokers for which you clear. This authorization shall apply to all accounts of the undersigned or in which the undersigned has an interest, whether previously opened, now open or opened in the future, with you, your predecessor firms or any introducing brokers for which you clear, and all previous, current and future transactions in any and all such accounts. All prior transactions for the undersigned by the Authorized Agent are ratified in all respects.

You may accept and rely upon any instructions received from the introducing broker concerning the undersigned's accounts and shall have no obligation to determine whether such instructions received from the introducing broker or its representative, employees, or other agents are in accordance with the terms of this authorization.

The undersigned hereby agrees to indemnify and hold you harmless from and to pay you promptly on demand any and all losses arising therefrom or debit balances thereon. This authorization and indemnity is in addition to (and in no way limits or restricts) any rights, which you may have under any other agreement or agreements between the undersigned and you. This authorization and indemnity is also a continuing one and shall remain in full force and effect until revoked by the undersigned by a written notice actually received by you at the above address, marked to the attention of your compliance officer, but such revocation shall not affect any liability in any way resulting from transactions initiated prior to such revocation.

If any provision of this authorization or indemnity shall be rendered invalid for any reason, the provisions of this agreement shall be deemed modified or superceded as the case may be and these provisions shall in all respects continue and be in full force and effect.

**Questions for ALL accounts holders**

- 1. What is your relationship to the limited trade authorized person? \_\_\_\_\_
- 2. How do you hear about the limited trade authorized person? \_\_\_\_\_
- 3. Does the limited trade authorized person receive any type of compensation from you?  Yes  No

**Limited Trade Authorized (LTA) Person Information:**

- 1. LTA Name or Entity Name \_\_\_\_\_
- 2. Social security number (for US citizen) \_\_\_\_\_
- 3. Other ID number \_\_\_\_\_ ID Type: \_\_\_\_\_  
 Expiration Date: \_\_\_\_\_ Issued by: \_\_\_\_\_  
 Issued Date: \_\_\_\_\_

Customer Account Number: \_\_\_\_\_

4. Residence Address (no PO box) \_\_\_\_\_

5. Email Address \_\_\_\_\_

6. Phone Number \_\_\_\_\_

7. Current LTA Employer \_\_\_\_\_ Occupation \_\_\_\_\_

8. Are you currently registered with CFTC and a member of NFA or granted registration exemption?

Yes. My NFA ID is \_\_\_\_\_

No. **Please complete, sign and return MBTF Account Manager and Limited Trade Authorization Self Attestation Form.**

9. LTA Signature \_\_\_\_\_ Date \_\_\_\_\_

**\*\*All LTA must submit a copy of valid government issued photo ID or passport\*\***

**Customer signature:**

_____ Primary Account holder/Authorized Officer	_____ Signature	_____ Date
_____ Joint Account holder Name	_____ Signature	_____ Date
Account Entity Name (if applicable) _____		

**MBTF Officer only:**

Approved By: _____	Date: _____
--------------------	-------------



**Account Manager and Limited Trade Authorization Self Attestation**

All Account Managers ("Manager") and Limited Trade Authorization Person ("LTA") who are not currently registered with CFTC and a member of NFA or granted registration exemption must complete, sign and return this MBTF Account Manager and Limited Trade Authorization Self Attestation Form to MBTF Compliance for review and approval. All Managers and LTAs are subject to a background check by the MBTF New Accounts.

Providing inaccurate or misleading information on this form and/or failing to pass a background check will disqualify a Manager or LTA from trading an account on behalf of a MBTF customer.

**Please answer YES or NO for the following questions**

1. \_\_\_\_\_ Are you a resident of the United States or its U.S. territories?
2. \_\_\_\_\_ Have you been providing investment advice and/or managed brokerage accounts of more than 15 persons during the past 12 months? How do you obtain customers in which you provide investment advice or managed brokerage accounts services? \_\_\_\_\_.
3. \_\_\_\_\_ Do you only manage brokerage accounts or provide investment advice to family, friends, and/or existing business associates? How many brokerage accounts and/or customers do you have in which investment advice or managed account services are provided? \_\_\_\_\_.
4. \_\_\_\_\_ Do you hold yourself out to the public as a Commodity Trading Advisor, trading account manager, hedge fund manager, investment manager, investment advisor or any similar title that would suggest the offering of investment advice or managed account services including trading? Do you have business cards or stationary that suggests the offering of investment advice or managed account services including trading?
5. \_\_\_\_\_ Do you maintain a business or home office for customer visitation to discuss any financial or investment related matters?
6. \_\_\_\_\_ Do you maintain a listing in the yellow pages, on a social network website or any public directory that suggest, or would suggest, the following services: financial planning, financial services, financial consultants, investment services, investment advisory and/or investment management?
7. \_\_\_\_\_ Do you receive remuneration from providing investment advice or trading a brokerage account on behalf of a customer in the form of an investment advisory fee, incentive fee, management fee, up-front fee, commission, mark-up/mark-down?
8. \_\_\_\_\_ Does your primary source of income come from providing investment advice or trading brokerage accounts on behalf of customers? My primary occupation is \_\_\_\_\_, which has the following responsibilities \_\_\_\_\_  
My employer contact information is \_\_\_\_\_
9. \_\_\_\_\_ Do you solicit customers or provide any type of promotional material that (1) describes or explains any financial product (e.g., stocks, bonds, futures currencies, mutual funds); (2) directs a customer to a website, trading blog, social network site, seminar, webinar, lesson, book, magazine, newspaper, newsletters, brochure or cold call scripts that relates to trading or investments; or (3) would be considered a mail or fax solicitation?
10. \_\_\_\_\_ Do your customers provide you with referrals or tell their family or friends about your investment advice managed account or brokerage trading account services?

**Manager/LTA Signature:**

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**MBTF Office**  **Approval**  **Disapproval** **Date:** \_\_\_\_\_