FOREIGN ENTITY DECLARATION REGARDING CORRESPONDENT ACCOUNT

Account Number:					—				

Certification for Purposes of Sections 5318(j) and 5318(k) of Title 31, United States Code

The information contained in this Certification is sought pursuant to Sections 5318(j) and 5318(k) of Title 31, United States Code, as added by sections 313 and 319(b) of the USA Patriot act of 2001 (Public Law 107-56)

FOREIGN ENTITY (CHECK APPROPRIATE BOX)

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(a) The undersigned Foreign Entity, _____ has established one or more accounts with **COR Clearing, LLC** - Fenix Securities LLC a ("Covered Financial Institution") and hereby certifies, by and individual authorized to make such certification, as follows: The Foreign Entity is not acting in the capacity of a Foreign Bank, and will not receive deposits from, make payments on behalf of, or handle other financial transactions related to the capacity of a Foreign Bank as defined in 31 CFR 104.10(d)

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(b) The undersigned financial Institution, _____ has established one or more accounts with **COR Clearing, LLC** - Fenix Securities LLC a ("Covered FiLLC nancial Institution") and hereby certifies, by an individual authorized to make such a certification, as follows: The Financial Institution is not acting in the capacity of a Foreign Bank, and will not receive deposits from, make payments on behalf of, or handle other financial transactions related to the capacity of a Foreign Bank as defined in 31 104.10(d).

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(c) The undersigned financial Institution, _____ a "Foreign Bank" as defined in 31 CFR 104.10(d), has established one or more accounts with **COR Clearing, LLC** - Fenix Securities LLC a ("Covered Financial Institution") to receive deposits from, make payments on behalf of, or handle other financial transactions related to Foreign Bank (the "correspondent accounts") as defined in 31 CFR 104.10(d). If this question is applicable, you must complete the CERTIFICATION REGARDING CORRESPONDENT ACCOUNTS.

Form in full.

Client Signature:

(Signature)

✕

Print Name

Title

Date

Broker Use Only:

(Broker Signature)

Print Name

Date