

FOREIGN ACCOUNT DUE DILIGENCE QUESTIONNAIRE

FOREIGN ACCOUNT INFORMATION		
1	Type of Account:	<input type="checkbox"/> Individual <input type="checkbox"/> Joint <input type="checkbox"/> Corporate
2	Name of Account:	
3	Is this account a foreign financial institutions such as a: (1) a foreign bank; (2) a foreign branch of a U.S. bank; (3) a business organized under a foreign law that, if it were located in the United States, would be a securities broker-dealer, futures commission merchant, introducing broker in commodities, or a mutual fund; and (4) a money transmitter or currency exchanger organized under foreign law.	<input type="checkbox"/> Yes <input type="checkbox"/> No <i>If "Yes" please complete the Foreign Financial Institution Enhanced Due Diligence Questionnaire.</i> _____ _____ _____
4	Is this account maintained for a current or former Politically Exposed Person or Foreign Public Official?	<input type="checkbox"/> Yes <input type="checkbox"/> No <i>If "Yes" please provide the name of that official and the official's immediate family members (including former spouses) and the related foreign political organization.</i>
	Official and immediate Family Members:	_____
	Foreign Political Organization:	
5	Who referred you to COR Clearing?	
6	What is your relationship to the person that referred you to COR Clearing and how long have you known him/her?	

INITIAL TRANSACTION FOR FOREIGN ACCOUNT		
7	Type of Deposit (Securities, Cash, ACAT, DTC):	
8	Value of Initial Deposit:	

CORPORATE FOREIGN ACCOUNTS		
9	Name of Corporate account:	
10	What type of business does corporation conduct?	
11	Geographic location of corporation's business market:	
12	Name and title of Officer #1 that has authority to transact business with the corporate account:	
13	Name and title of Officer #2 that has authority to transact business with the corporate account:	

INDIVIDUAL/JOINT FOREIGN ACCOUNTS		
14	Name of Primary Account Holder	
15	Name of Employer:	
16	Self Employed?	<input type="checkbox"/> Yes <input type="checkbox"/> No
17	What type of work do you do?	
18	Do you own any businesses?	<input type="checkbox"/> Yes <input type="checkbox"/> No
19	What are your sources of income?	
20	Do you have any other brokerage accounts? Identify any other broker accounts with name and account number:	<input type="checkbox"/> Yes <input type="checkbox"/> No _____ _____

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INDIVIDUAL/JOINT FOREIGN ACCOUNTS		
21	Name of Secondary Account Holder	
22	Name of Employer:	
23	Self Employed?	<input type="checkbox"/> Yes <input type="checkbox"/> No
24	What type of work do you do?	
25	Do you own any businesses?	<input type="checkbox"/> Yes <input type="checkbox"/> No
26	What are your sources of income?	
27	Do you have any other brokerage accounts? Identify any other broker accounts with name and account number:	<input type="checkbox"/> Yes <input type="checkbox"/> No _____ _____

GENERAL INFORMATION FOR ALL FOREIGN ACCOUNTS		
28	Can you speak/read/write English?:	<input type="checkbox"/> Yes <input type="checkbox"/> No
29	If "No," please respond to the following:	
	a. What is the name of the individual assisting you with completing this questionnaire?	
	b. What is your relationship with the individual assisting you with completing this questionnaire?	
	c. How long have you known the person who is assisting you with completing this questionnaire?	
30	What is your Phone Number?:	
31	What is your Email address?:	
32	Physical Address for this Account:	
33	Address of Officer or individual account holder:	
34	Mailing address for this Account:	
35	If mailing address for account is different from the Physical address for the account, please explain why mail should be sent to mailing address:	

Signature:	
<input type="text"/> X (Signature)	Applicant Print Name: _____ Date: _____
<input type="text"/> X (Signature if joint)	Applicant Print Name: _____ Date: _____ (if joint)
	Broker Signature/Date: _____
	Print Name: _____