

FOREIGN ACCOUNT DUE DILIGENCE QUESTIONNAIRE

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:	
<div style="border: 1px solid black; height: 40px; margin-bottom: 5px;"></div> <p>X</p> <p>(Signature)</p> <div style="border: 1px solid black; height: 40px; margin-bottom: 5px;"></div> <p>X</p> <p>(Signature if joint)</p>	<p>Applicant Print Name: _____ Date: _____</p> <p>Applicant Print Name: _____ Date: _____ (if joint)</p> <p>Broker Signature/Date: _____</p> <p>Print Name: _____</p>