



## Foreign Account Due Diligence Questionnaire

Account Name: \_\_\_\_\_ Account Number: \_\_\_\_\_

Do you have other account held with Firstrade?

(  ) Yes (  ) No

If yes, list the related account number(s) and name(s):

Account Number: \_\_\_\_\_ Account Name: \_\_\_\_\_

Account Number: \_\_\_\_\_ Account Name: \_\_\_\_\_

**Politically Exposed Persons (“PEPs”)**

Is the account maintained for a current or former Politically Exposed Person or Foreign Public Official?

(  ) Yes (  ) No

If yes, please complete the table below by providing the names of the official(s) and the official’s immediate family members (including former spouses) and the related political organization.

Name of Official & Title:	Political Title & Organization:
Immediate Family Members and Former Spouses:	

**Client Referral Information**

Were you referred to our firm?

(  ) Yes (  ) No

If No, please list the nature of the initial contact: \_\_\_\_\_

If Yes, please answer the following questions:

By Whom	
Your relationship to the referring individual(s)	
Length of acquaintance between you and the referring individual(s)	

**Account Activity**

What will be the primary type of account activity?

- ( ) Active Trading
- ( ) Short – Term Investing
- ( ) Long – Term Investing

Describe the expected withdrawals from the account:

- ( ) Frequent
- ( ) Occasional
- ( ) Rare

What will be the primary type of stock anticipating of trading?

- ( ) Listed stocks
- ( ) OTC BB, Pink Sheet Stocks  
Provide stock symbols: \_\_\_\_\_ What Percentage? \_\_\_\_\_
- ( ) Foreign Bonds  
Which countries? \_\_\_\_\_ Percentage for each country: \_\_\_\_\_

What will be the initial deposit type? (Deposit of physical certificate, wire, account transfer from another financial institution, other – specify)

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What is the source and expected amount of the initial deposit?

Initial Deposit Amount	
Source of Deposit	

**Source of Wealth**

Please provide the source of wealth.

Please provide the source of income/wealth. If inheritance, describe family source of wealth in detail.	
Describe employment, business, and size of business in detail.	



**Additional Accounts**

Client has traded with following financial institutions:

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Provide the name of your primary banking relationship: if more than one list all (i.e. Citibank, Wells Fargo, HSBC, etc.)

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**The due diligence was completed and certified by the account holder listed on the above account.**

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

For Office Use Only:	
Due diligence review - (    ) Yes (    ) No	Exceptional, negative info. - (    ) Yes (    ) No
Risk rating review - (    ) high (    ) medium (    ) low	Follow up review - (    ) Yes (    ) No
Additional Notes:	
Review By:	Review Date:
Registered Principal:	Accepted Date: