

Foreign Account Due Diligence Questionnaire

Account Name: _____ Account Number: _____

Do you have other account held with Firsttrade?

() 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)

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:

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

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: