

Company Name

Account Number

Customer Identification Addendum

Authorized Officer or Director, Managing Member or Manager, Beneficial Owner

Who completes this form? A person who is considered any one or more of the following; an Authorized Officer or Director, Managing Member or Manager, or a Beneficial Owner of the entity. (“the required Respondent”). **A separate form must be completed for each required Respondent.**

- (Select whichever applies to the Respondent below.)
- “Authorized Officer or Director”** - a person that World Trade Financial Corporation (“World Trade”) or its clearing firm have been authorized to accept instruction from as evident from the entity’s Corporate Resolution.
- “Managing Member or Managing Manager”** – a person or entity that World Trade or its clearing firm have been authorized to accept instruction as evident from the entities’ LLC agreement or operating agreement.
- “Beneficial Owner”** - a person or entity that (i) owns, controls, or has power to vote, directly or indirectly, 20% or more of the voting shares or other voting interests of a company; or (ii) controls in a manner the election of a majority of the directors (or individuals exercising similar functions). Thus a mere nominee/trustee - or a person acting in a similar capacity - is not the Beneficial Owner.

1. Respondent Information

(a) Name	
(b) Social Security Number	
(c) Date of Birth	
(d) Address (Residence) No PO Boxes, PMBs, or other types of mail service provider addresses.	
(e) Phone Number (Residence)	
(f) Email (Optional)	
(g) Identification Type and Place of Issuance (provide photocopy with this form)	
(h) Identification Number and Expiration Date	
(i) Source of wealth and income (if source is from employer include employer name and length of service)	
(j) Address of Employer	
(k) Occupation/Type of Business (include job title) If the required Respondent is retired or not employed, his/her prior profession.	
(l) Current Annual Income (\$)	
(m) Total Net Worth(\$)(excluding residence)	

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(n) Years of Investment Experience?	
(o) Are you, or a member of your family, associated with a securities dealer, insurance company, fund or investment advisor? If so, who?	
(p) Are you a control person, officer, director or 10% or more stock owner in any publicly traded company? If so, which company?	
(q) Are you or any member of your immediate family a senior foreign political figure?	
(r) Are you currently or have you previously been licensed by the Financial Industry Regulatory Authority (“FINRA”) f.k.a. National Association of Securities Dealers (“NASD”) or a Registered Investment Advisory? If yes, provide the name(s) of the firm(s) including the dates employed?	
(s) Have you ever been the subject of a formal investigation by the Securities and Exchange Commission (“SEC”), FINRA f.k.a NASD, state securities regulatory authorities, state insurance departments or other regulatory bodies or have been involved in a violation of its rules (other than a violation designated as “minor rule violation” under a plan approved by the SEC)?	

2. Beneficial Ownership Information

(a) Are you considered a “Beneficial Owner” as defined in this document for this account. If yes, indicate the percentage owned (%)?	
(b) How many “Beneficial Owners” are there for this account?	

The undersigned Respondent declares that the statements and information set forth herein are true. The undersign agrees that if the information supplied changes he/she will notify World Trade promptly.


Respondent Signature

Date

Attach a copy of your unexpired, government-issue identification. Government-issue identification includes driver’s licenses, state identification cards, and/or passports. Non-US residents must submit passports.

In addition to a copy of the company’s Articles of Incorporation, provide World Trade Financial with a “certified” copy of the records showing the registration of all issued shares of the company. Certification can be made by a transfer agent or authorized officer in the form a shareholder ledger. Only one copy of the shareholder records needs to be provided.