WORLD TRADE Financial Corporation™
Registered Broker Dealer | Member FINRA / SIPC

Client Name:	
Broker:	

Foreign Account Due Diligence Questionnaire

Please answer all the following questions in their entirety:

1.	What is your full legal name? (First, Middle, Last)	
2.	Can you speak/read/write the English language?	No ☐ Yes ☐
	If "No", answer the following:	
	A. What is the name of the individual assisting you complete this questionnaire?	
	B. What is your relationship to the individual assisting you complete this questionnaire?	
	C. How long have you known the person assisting you complete this questionnaire?	
3.	Please provide the following contact information to reach you directly:	
	A. Home Phone:	
	B. Cell Phone:	
	C. Work Phone:	
	D. Personal Email:	
	E. Work Email:	
4.	What is the physical address where you reside?	
	A. How long have you resided at this address?	
5.	What is your current mailing address?	
6.	What is the mailing address you want associated with this account?	
	A. If different than your current mailing address, please explain why mail should be sent there and not to your main mailing address.	

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7.	What is the name of the person who referred you to World Trade Financial Corporation & the Broker?	
	A. What is your relationship to the person who referred you?	
	B. How long have you known the person who referred you?	
8.	What is the name of your employer?	
9.	What is the nature of the business of your employer? (i.e. travel company, etc.)	
10.	If you are self-employed, what is your source of wealth and income?	
11.	Do you own any businesses?	
12.	Please provide any additional sources of wealth/income:	
13.	Do you have any other existing bank/brokerage relationships?	No Yes ☐
	If "Yes", please include the following:	
	A. Name of Bank/Brokerage Firm(s):	
	B. Approximate Account Value(s):	
14.	Will anyone else have authority to affect trade transactions and/or assist with your account?	No ☐ Yes ☐
	If "Yes", please include the following:	
	A. Please provide the following information regarding the person(s) who will have authority over your account:	

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Broker:	

THIS PERSON WILL HAVE TRADING AUTHORIZATION:	
Name:	
Relationship to you and years known:	
Date of Birth:	
Country of Birth:	
Country currently residing in:	
Physical address where individual resides:	
Phone:	
Email:	
Name & Address of Employer:	
Occupation:	
THIS PERSON WILL HAVE AUTHORITY TO ASSIST IN OPENING MY ACCOUNT ONLY, BUT WILL NOT HAVE TRADING AUTHORIZATION:	
Name:	
Relationship to you and years known:	
Date of Birth:	
Country of Birth:	
Country currently residing in:	
Physical address where individual resides:	
Phone:	
Email:	
Name and Address of Employer:	
Occupation:	
THIS PERSON WILL HAVE AUTHORITY TO DISCUSS ALL DETAILS OF MY ACCOUNT OPENLY, BUT WILL NOT HAVE TRADING AUTHORIZATION:	
Name:	
Relationship to you and years known:	
Date of Birth:	
Country of Birth:	
Country currently residing in:	
Physical address where individual resides:	
Phone:	
Email:	
Name and Address of Employer:	
Occupation:	

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<table>
<tr><td colspan="3">*** A trading authorization form will be required to be completed and signed by you and the person you are giving trading authorization to. In addition, a photo id (ie. passport or driver license) will be required for all individuals authorized on the account.</td></tr>
<tr><td>15.</td><td>How often do you plane on wire transferring out funds from your account?</td><td></td></tr>
<tr><td colspan="3">*** Special note: NO 3rd party wires will be processed. All incoming and outgoing wires must be from the same name on the account as where the funds are coming from or going to (ie. John Smith to John Smith).</td></tr>
<tr><td>16.</td><td>What country do you plan on wiring funds to?</td><td></td></tr>
<tr><td>17.</td><td>What is your investment strategy/time horizon with this account?

Examples:
Immediate (less than 1 month) - I will most likely sell all my stock as soon as I am able and I will request that you send me all the proceeds of the sale.

Short term (less than 1 yr) – I will most likely sell all my stock over the next year and I will request that you send me all the proceeds of the sale.

Long Term (1-10 yrs) – I see this account as a long term investment. I will most likely reinvest the proceeds of any sale of my stock.

***Note: Stock will not be sold in your account until either you or your authorized individual contacts are firm with an order to sell.</td><td>In your own words please answer question #17 below:</td></tr>
</table>

Client Name:	
Broker:	

18.	Please provide the information below for Corporate Accounts only:	
	A. Country of Incorporation:	
	B. Company Address:	
	C. Type of Business:	
	D. Geographic Location of Market:	
	E. Name of Officer 1:	
	F. Physical Address of Officer 1:	
	G. Name of Officer 2:	
	H. Physical Address of Officer 2:	

Client Name: ____________ **Date:** ____________

Client Signature: ____________

Internal Use Only:

Principals Name: ____________ **Date:** ____________

Principals Signature: ____________