



## Foreign Clients – Know Your Client Questionnaire

It is Stock USA Execution Services, Inc. policy to know our clients. A copy of this form must be completed for each beneficial owner and/or signatory of a Stock USA account, including individuals named on a Power of Attorney and Trading Authorizations. The information requested is required under United States Anti-Money Laundering regulations. Please complete this form and provide the below listed documentation for each relevant individual.

Copy of passport \*

Copy of secondary photo ID (e.g. Driver's License or other Government issued ID) \*

Copy of Bank or Brokerage firm statement or a Bank reference letter \*

- If you do not have both of the 2 required forms of ID listed above, than you can provide one of the ID's listed along with a Utility bill or phone bill or other acceptable verification of address.
- Bank reference letters must be originals and on letterhead. Copies of reference letters must be notarized. Reference letters should attest to the subject's good character and must confirm at least 2 years of satisfactory business and/or personal dealings. Letters must be signed and include a contact name and number. Letters may be addressed "To Whom it May Concern". Stock USA may at its discretion verify references on an anonymous basis.

Your Full Name: \_\_\_\_\_ Country of Citizenship: \_\_\_\_\_

Residential Address: \_\_\_\_\_

City: \_\_\_\_\_ State or Province: \_\_\_\_\_ Country: \_\_\_\_\_ Postal Code: \_\_\_\_\_

Home Phone: \_\_\_\_\_ Mobile Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

Date of Birth: \_\_\_\_\_ Marital Status: \_\_\_\_\_ Passport or ID # \_\_\_\_\_

Occupation or Position: \_\_\_\_\_ Length of Employment: \_\_\_\_\_ Employer Name: \_\_\_\_\_

Employers Address: \_\_\_\_\_

City: \_\_\_\_\_ State or Province: \_\_\_\_\_ Country: \_\_\_\_\_ Postal Code: \_\_\_\_\_

Business Phone: \_\_\_\_\_ Business Fax: \_\_\_\_\_

Are you the beneficial owner of a company which has opened an account with Stock USA Execution Services Inc.? [  ] No [  ] Yes

If YES, please disclose your percentage ownership interest in the company. \_\_\_\_\_ % Initial: \_\_\_\_\_

Are you a director, officer or a controlling shareholder of any publicly traded company? [  ] No [  ] Yes

If YES, I hereby acknowledge that any filing requirements are solely my responsibility and I am not relying on Stock USA for any assistance or advise in regards to regulatory filings that I may be required to undertake in a foreign jurisdiction.

Initial: \_\_\_\_\_

I hereby acknowledge that any tax obligations I may have are solely my responsibility, that I have sought professional tax counsel and that I am not relying on Stock USA Execution Services, Inc. for any taxation advise. Initial: \_\_\_\_\_

I certify that all the information provided by me in this document is true and correct, and I agree to advise Stock USA immediately of any changes to this information. I agree to hold Stock USA Execution Services, Inc. harmless for any errors or omissions.

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

All executions through Stock USA Execution Services, Inc. Member FINRA & SIPC

For Service Call: (845) 225-5132 from 8:00a.m. to 5:00p.m. EST or Fax (845) 622-4878 or email [info@stockusa.com](mailto:info@stockusa.com) / [www.speedtrader.com](http://www.speedtrader.com) /LiveChat

Address: 1717 Route 6, Suite 102, Carmel, New York 10512 URL: [Speedtrader.com](http://Speedtrader.com) Twitter: @speedtraders Facebook: SpeedTrader

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