

FOREIGN ACCOUNT SECTION 312 FORM

Entity Accounts

1. ACCOUNT INFORMATION						
Account Title						
۸۵۵	ount Number	Course month ID Musels as				
	2. RELATIONSHIP INFORMATION					
1.	Does the Entity have a U.S. taxpayer ID number?					
2.	List any account numbers of any previous accounts opened by Entity:					
3.	How was the registered representative introduced to client (walk-in, cold call, referral, etc.)?					
4.	How long has the registered representative known the client?					
5.	Indicate the date and location of the registered representative's last personal meeting with the client:					
		Name of referring party (if applicable):				
Referral Information (If applicable)		Client's relationship to referring party:				
		How long has the referring party known the client:				
(11	аррисавіс	Registered representative's relationship to referring party:				
		Is there a commission-sharing or referral fee arrangement with the referring party?				
		Duration of registered representative's relationship to referring party:				
3. ANTICIPATED USE OF FUNDS						
6.	Describe the type of business the customer operates:					
7.	Describe the investments and the size of those investments that would be typical of this account (please provide as much detail as possible). Include any products you anticipate using (i.e. equities, bonds, mutual funds, check writing, private placements, DVP/RVP, etc.):					
8.	Initial Deposit:					
		Deposit amount Name and location of source institution				
9.	Does a third-part	y own this account? Yes No If yes, explain the relationship between the third-party and client:				
10.	Will there be third	d-party deposits into or withdrawals from the account (checks, wire transfers, etc.):				
	If yes, specify which country(ies):					
11.	L. If the entity is a hedge fund: What are the minimum requirements for investment?					
Is the customer base domestic or international?						
12.	2. Does this Entity have any U.S. customers or does it solicit business in the U.S.? If yes, is the entity registered in the U.S.?					
13.	How long has the Entity been doing business with U.S. based firms?					
14.	Does the Entity h	ave any other U.S. based accounts?				



4.	4. ADDITIONAL ENTITY INFORMATION				
15.	. Has the Entity ever issued or does it currently issue bearer shares? If so, what percentage do they represent?				
16.	Provide the name of the U.S. agent who can receive legal process on behalf of the Entity:				
17.	Is the Entity a foreign bank or acting on behalf of a foreign bank*?				
18.	Is the Entity a foreign branch of a U.S. bank acting on behalf of a foreign branch of a U.S. branch?				
19.	Is Entity an offshore foreign bank or acting on behalf of an offshore foreign bank*?				
20.	If Entity were located in the U.S., would Entity be considered a securities broker-dealer, futures commission merchant, or introducing broker in commodities or mutual funds?				
21.	Is Entity a Money Transmitter or Currency Exchanger organized under foreign law?				
22.	Is Entity a Governmental Organization?				
23.	Is Entity a Non-Governmental Organization?				
24.	Is Entity a Non-Regulated Foreign Financial such as a Hedge Fund, Private Equity Fund, or Unregistered Investment Advisor?				
	reign bank certification required within 30 days of account opening. Failure to provide the foreign bank certification to StoneX Financial Inc. within days of account opening will result in the account being frozen, preventing all transactions other than liquidations.				
5.	SIGNATURES				
Reg	istered Representative Signature Name Date				
	cipal Signature Name Date				



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REFERENCES AND DEFINITIONS			
Politically Exposed Person (PEP)	A senior foreign political figure, which includes:		
	 a current or former senior official in the executive, legislative, administrative, military, or judicial branches of a foreign government (whether elected or not), a senior official of a major foreign political party, or a senior executive of a foreign government-owned commercial enterprise; 		
	a corporation, business, or other entity formed by or for the benefit of any such individual;		
	an immediate family member of such an individual; or		
	any individual publicly known (or actually known by the firm) to be a close personal or professional associate of such an individual.		
	Reference : 31 CFR 103.175(r)		
Foreign Bank	A bank organized under foreign law, or an agency, branch, or office located outside the United States of a bank. The term does not include an agent, agency, branch or office within the United States of a bank organized under foreign law.		
	A foreign bank does not include any foreign central bank or monetary authority that functions as a central bank, or any international financial institution or regional development bank formed by treaty or international agreement.		
	References : 31 C.F.R. 103.11(o) and Appendix A To Subpart I of Part 103 – Certification Regarding Correspondent Accounts For Foreign Banks		
Off-shore Foreign Bank	A foreign bank operating with an offshore banking license. The USA PATRIOT Act (31 USC 5318(i)(4)(A) and 31 CFR 103.175(k)) defines an offshore banking license as a license to conduct banking activities that, as a condition of the license, prohibits the licensed entity from conducting banking activities with the citizens, or in the local currency of, the jurisdiction that issued the license.		
Money Transmitter	A) Any person, whether or not licensed or required to be licensed, who engages as a business in accepting currency, or funds denominated in currency, and transmits the currency or funds, or the value of the currency or funds, by any means through a financial agency or institution, a Federal Reserve Bank or other facility of one or more Federal Reserve Banks, the Board of Governors of the Federal Reserve System, or both, or an electronic funds transfer network; or (B) Any other person engaged as a business in the transfer of funds.		
	Reference: 31 C.F.R. 103.11(uu)(5)		
Currency Exchanger	A currency dealer or exchanger (other than a person who does not exchange currency in an amount greater than \$1,000 in currency or monetary or other instruments for any person on any day in one or more transactions).		
	Reference : 31 C.F.R. 103.11(uu)(1)		
Governmental Organization	An organization created by any government (e.g., FBI, DOJ, etc.).		
Non-Governmental Organization (NGO)	Private, nonprofit organizations that are independent from government that pursue activities intended to serve the public good. NGOs may provide basic social services, work to relieve suffering, promote the interests of the poor, bring citizen concerns to governments, encourage political participation, protect the environment, or undertake community development to serve the needs of citizens, organizations, or groups in one or more of the communities that the NGO operates.		
	NGOs can range from large regional, national, or international charities to community-based self-help groups. NGOs also include research institutes, churches, professional associations, and lobby groups. NGOs typically depend, in whole or in part, on charitable donations and voluntary service for support.		
	Reference: FFIEC BSA/AML Examination Manual dated 8/24/2007		