

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*? Yes No
18. Is the Entity a foreign branch of a U.S. bank acting on behalf of a foreign branch of a U.S. branch? Yes No
19. Is Entity an offshore foreign bank or acting on behalf of an offshore foreign bank*? Yes No
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? Yes No
21. Is Entity a Money Transmitter or Currency Exchanger organized under foreign law? Yes No
22. Is Entity a Governmental Organization? Yes No
23. Is Entity a Non-Governmental Organization? Yes No
24. Is Entity a Non-Regulated Foreign Financial such as a Hedge Fund, Private Equity Fund, or Unregistered Investment Advisor? Yes No

*Foreign bank certification required within 30 days of account opening. Failure to provide the foreign bank certification to StoneX Financial Inc. within 30 days of account opening will result in the account being frozen, preventing all transactions other than liquidations.

5. SIGNATURES

Registered Representative Signature

Name

Date

Principal Signature
(Person conducting due diligence for introducing firm)

Name

Date

REFERENCES AND DEFINITIONS	
Politically Exposed Person (PEP)	<p>A senior foreign political figure, which includes:</p> <ul style="list-style-type: none"> 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. <p>Reference: 31 CFR 103.175(r)</p>
Foreign Bank	<p>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.</p> <p>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.</p> <p>References: 31 C.F.R. 103.11(o) and Appendix A To Subpart I of Part 103 – Certification Regarding Correspondent Accounts For Foreign Banks</p>
Off-shore Foreign Bank	<p>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.</p>
Money Transmitter	<p>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.</p> <p>Reference: 31 C.F.R. 103.11(uu)(5)</p>
Currency Exchanger	<p>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).</p> <p>Reference: 31 C.F.R. 103.11(uu)(1)</p>
Governmental Organization	<p>An organization created by any government (e.g., FBI, DOJ, etc.).</p>
Non-Governmental Organization (NGO)	<p>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.</p> <p>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.</p> <p>Reference: FFIEC BSA/AML Examination Manual dated 8/24/2007</p>