

## Foreign Clients – Know Your Client Questionnaire

It is Stock USA Investments policy to know our clients. A copy of this form must be completed for each beneficial owner and/or signatory of a Stock USA Investments 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 (eg. 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 1 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 Email \_\_\_\_\_  
 Date of Birth \_\_\_\_\_ Marital Status \_\_\_\_\_ Passport or ID # \_\_\_\_\_  
 Occupation or Position \_\_\_\_\_ Length of Employment \_\_\_\_\_  
 Employer Name \_\_\_\_\_  
 Employer's Address \_\_\_\_\_  
 City \_\_\_\_\_ State or Province \_\_\_\_\_ Country \_\_\_\_\_ Postal Code \_\_\_\_\_  
 Business Phone \_\_\_\_\_ Business Fax \_\_\_\_\_

Are you the beneficial owner of the company opening this account with Stock USA Investments?  No  Yes  
 If yes, please disclose you percentage ownership interest in the company. \_\_\_\_\_%  
 Initial: \_\_\_\_\_

Are you a director, officer or a controlling share holder 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 advice 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 Investments for any taxation advice.  
 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 Investments harmless for any errors or omissions

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

If you have any questions, please call our office at 1-845-225-5132

Thank you,

Stock USA Investments, Inc.