

FOREIGN ACCOUNT DUE DILIGENCE QUESTIONNAIRE

| FOREIGN ACCOUNT INFORMATION | | |
|-----------------------------|--|--|
| 1 | Type of Account: | <input type="checkbox"/> Individual <input type="checkbox"/> Joint <input type="checkbox"/> Corporate |
| 2 | Name of Account: | |
| 3 | Is this account a foreign financial institutions such as a: (1) a foreign bank; (2) a foreign branch of a U.S. bank; (3) a business organized under a foreign law that, if it were located in the United States, would be a securities broker-dealer, futures commission merchant, introducing broker in commodities, or a mutual fund; and (4) a money transmitter or currency exchanger organized under foreign law. | <input type="checkbox"/> Yes <input type="checkbox"/> No <i>If "Yes" please complete the Foreign Financial Institution Enhanced Due Diligence Questionnaire.</i> _____ _____ _____ |
| 4 | Is this account maintained for a current or former Politically Exposed Person or Foreign Public Official? | <input type="checkbox"/> Yes <input type="checkbox"/> No <i>If "Yes" please provide the name of that official and the official's immediate family members (including former spouses) and the related foreign political organization.</i> |
| | Official and immediate Family Members: | _____ |
| | Foreign Political Organization: | |
| 5 | Who referred you to Vision Financial Markets? | |
| 6 | What is your relationship to the person that referred you to Vision and how long have you known him/her? | |

| INITIAL TRANSACTION FOR FOREIGN ACCOUNT | | |
|---|--|--|
| 7 | Type of Deposit (Securities, Cash, ACAT, DTC): | |
| 8 | Value of Initial Deposit: | |

| CORPORATE FOREIGN ACCOUNTS | | |
|----------------------------|--|--|
| 9 | Name of Corporate account: | |
| 10 | What type of business does corporation conduct? | |
| 11 | Geographic location of corporation's business market: | |
| 12 | Name and title of Officer #1 that has authority to transact business with the corporate account: | |
| 13 | Name and title of Officer #2 that has authority to transact business with the corporate account: | |

| INDIVIDUAL/JOINT FOREIGN ACCOUNTS | | |
|-----------------------------------|---|--|
| 14 | Name of Primary Account Holder | |
| 15 | Name of Employer: | |
| 16 | Self Employed? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 17 | What type of work do you do? | |
| 18 | Do you own any businesses? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 19 | What are your sources of income? | |
| 20 | Do you have any other brokerage accounts? Identify any other broker accounts with name and account number: | <input type="checkbox"/> Yes <input type="checkbox"/> No _____ _____ |

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| INDIVIDUAL/JOINT FOREIGN ACCOUNTS | | |
|-----------------------------------|---|--|
| 21 | Name of Secondary Account Holder | |
| 22 | Name of Employer: | |
| 23 | Self Employed? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 24 | What type of work do you do? | |
| 25 | Do you own any businesses? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 26 | What are your sources of income? | |
| 27 | Do you have any other brokerage accounts? Identify any other broker accounts with name and account number: | <input type="checkbox"/> Yes <input type="checkbox"/> No _____ _____ |

| GENERAL INFORMATION FOR ALL FOREIGN ACCOUNTS | | |
|--|---|--|
| 28 | Can you speak/read/write English?: | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 29 | If "No," please respond to the following: | |
| | a. What is the name of the individual assisting you with completing this questionnaire? | |
| | b. What is your relationship with the individual assisting you with completing this questionnaire? | |
| | c. How long have you known the person who is assisting you with completing this questionnaire? | |
| 30 | What is your Phone Number?: | |
| 31 | What is your Email address?: | |
| 32 | Physical Address for this Account: | |
| 33 | Address of Officer or individual account holder: | |
| 34 | Mailing address for this Account: | |
| 35 | If mailing address for account is different from the Physical address for the account, please explain why mail should be sent to mailing address: | |

| Signature: | |
|--|---|
| <div style="border: 1px solid black; height: 60px; margin-bottom: 5px;"></div> <p style="text-align: center;">X</p> <p>(Signature)</p> <div style="border: 1px solid black; height: 60px; margin-bottom: 5px;"></div> <p style="text-align: center;">X</p> <p>(Signature if joint)</p> | <p>Applicant Print Name: _____ Date: _____</p> <p>Applicant Print Name: _____ Date: _____ (if joint)</p> <p>Broker Signature/Date: _____</p> <p>Print Name: _____</p> |