

Addendum A
Enhanced Due Diligence for Foreign Accounts

If you are not a U.S. citizen or resident alien, please fill out the following information:

Were you referred to Glendale Securities, Inc. (Glendale)?

☐ Yes

☐ No

If yes, by whom?

What is your relationship to the referring individual?

If no, how did you become aware of Glendale?

How long have you known Glendale?

How long have you known your representative at Glendale?

List any other accounts at Glendale previously opened by you or controlled by you regardless if the account is opened or closed:

Account Number	Account Name

List any business owned (notwithstanding any employment listed above). If source of wealth is a sale of business, please include business sold, date, and sale amount:

Business Name Sold	Date Sold	Sale Amount

Do you have any other existing bank/brokerage relationships (domestic or foreign)?

☐ Yes

☐ No

If yes, please list any other existing bank or brokerage relationships (domestic or foreign):

Corporate Account:

Enter corporation's business purpose (e.g., real estate sales, retail store, law services) and the geographic locations it serves:

Business Purpose	Geographic Locations it Serves

Physical address of corporate Account:

Mailing address of corporate Account:

Does the entity have legal advisers or consultants:

☐ Yes

☐ No

If yes, please provide contact information:

Name	Type	Address	Phone

Will any securities be transferred into the account?

☐ Yes

☐ No

If yes, please list the name, ticker symbol, quantity, estimated value, and original source of the securities. Is the customer considered an insider for any of the companies for which securities are being deposited?

Name of Security	Ticker Symbol	Quantity	Estimated Value	Original Source	Insider (Y/N)?

Other than the securities described above, describe the types of securities that are expected to be held or traded in the Account:

What are the sources of wealth or funds for your Account?

Will there be third-party deposits into and/or withdrawals from the Account?

☐ Yes

☐ No

If yes, please describe:

Will there be transfers to and from foreign countries?

☐ Yes

☐ No

If yes, please describe the type of transfers, how often, and the foreign countries involved:

Type of Transfer	How Often	List Foreign Country

Is this account a foreign bank or offshore bank organized under foreign law and located outside of the United States?

☐ Yes

☐ No

Is the account maintained for a current or former politically exposed person or foreign public official?

☐ Yes

☐ No

If yes, please provide the names of that official and the official’s immediate family members (including former spouses) and the related foreign political organization:

Official and Immediate Family Members	Foreign Political Organization

Is the account maintained for a foreign financial institution?

☐ Yes

☐ No

If yes, please provide the jurisdiction/country of incorporation or organization:

Do you or anyone affiliated with the Account have any prior or pending criminal or regulatory proceedings:

☐ Yes

☐ No

If “yes,” please describe: