

Instructions:

Please complete a separate questionnaire for each joint applicant, if applicable.

For non-U.S. residents: A clear copy of a valid, machine-readable passport must accompany each questionnaire.

Please note: The account ownership types offered are limited to Individual or Joint Tenants with Rights of Survivorship (WROS).

1. Full legal name (as listed on your passport): _____

• Are you known by any other name? ☐ Yes ☐ No

• If yes, please specify other name(s): _____

2. Have you ever been categorized as a “PEP” (Politically Exposed Person) by a bank, brokerage firm or any financial institution? ☐ Yes ☐ No ☐ Don’t know

• If yes, explain reason for designation: _____

3. Are you a majority stock holder or do you hold a majority interest in any business entity?

☐ Yes ☐ No

• If yes, company name: _____

• Location (city and country): _____

• Percentage of interest: _____

4. Do you have any interest in a trust? ☐ Yes ☐ No

a. If yes, complete sections b and c.

b. Mark all that apply — Are you a: ☐ Grantor ☐ Trustee ☐ Beneficiary

c. Trust information:

- Name of trust: _____
- Type of interest: _____
- Percentage of interest: _____
- Purpose of trust: _____

5. Type of brokerage account(s) you wish to open:

- ☐ Equities ☐ Futures

6. Please select the primary investment strategy you plan to employ at TradeStation:

- ☐ Long Term ☐ Swing Trading ☐ Day Trading
☐ Other: Explain _____

7. Anticipated initial deposit: (USD) _____

8. Annual income: (USD) _____

9. Total net worth: (USD) _____

10. Liquid net worth: (USD) _____

11. Source of income (check all that apply):

- ☐ Salary ☐ Savings ☐ Gift ☐ Insurance Proceeds ☐ Investment Proceeds
☐ Trust ☐ Inheritance ☐ Royal Family Stipend ☐ Real Estate ☐ Legal Settlement
☐ Other: _____

12. Source of wealth (check all that apply):

- ☐ Same as question #11 ☐ Salary ☐ Sale of Investments ☐ Retirement
☐ Fixed Deposit Savings ☐ Royal Family ☐ Company Sale ☐ Trust
☐ Inheritance ☐ Company Profits
☐ Other: _____

13. Please select an option for **each category** below. For any category in which Self, Family Member or Associate is checked, please provide all the information required in the Details Required column in the Explanation section below:

Do you, an immediate family member or business / close associate, currently or formally qualify as one of the PEP categories below?

- An **immediate family member** is defined as a parent, sibling, spouse, child or in-law.
- A **business / close associate** of a senior foreign political figure is defined as a person who is widely and publicly known to maintain an unusually close relationship with the senior foreign political figure, and includes a person who is in a position to conduct substantial domestic and international financial transactions on behalf of the senior foreign political figure.

Category	N/A	Self	Family Member	Associate	Details Required
Elected Government Official					<ul style="list-style-type: none"> • Official title • Job description
Appointed Government Official					<ul style="list-style-type: none"> • Official title • Job description
Senior Official of a Major Political Party					<ul style="list-style-type: none"> • Official title • Job description
Senior Official of a Legislative Body					<ul style="list-style-type: none"> • Official title • Job description
Senior Official of a Military Branch					<ul style="list-style-type: none"> • Military branch • Rank • Job description
Senior Official of a Judicial Branch					<ul style="list-style-type: none"> • Judicial branch • Official title • Job description
Senior Official of an Administrative Government Branch					<ul style="list-style-type: none"> • Government branch • Official title • Job description
Senior Executive of a Foreign Government Owned Entity					<ul style="list-style-type: none"> • Entity name • Governing body • Official title • Job description
Senior Executive of an Entity Owned by, Formed by or for the Benefit of a Senior Foreign Political Figure					<ul style="list-style-type: none"> • Entity name • Executive title • Job description • Name of political figure and <ul style="list-style-type: none"> ◦ Official title, ◦ Governing body, ◦ Job description
Member of a Royal or Ruling Family					<ul style="list-style-type: none"> • Name of Royal Family • Country • Royal title • Royal ranking

13. Continued

Explanation

14. Please list all relevant banking and or brokerage institutions to be used for funding. Please note that funding or disbursement of funds will only be permitted from the listed accounts, if approved.

Brokerage:

Firm name: _____
 Firm location (city & country): _____
 Full account title: _____
 Account number: _____

Primary Bank:

Bank name: _____
 Branch location (city & country) _____
 Full account title: _____
 Account number: _____

Secondary Bank:

Bank name: _____
 Branch location (city & country): _____
 Full account title: _____
 Account number: _____

15. Have you or any immediate family members, ever traveled to any country designated by the United States ("U.S.") to be an Office of Foreign Assets Control ("OFAC")-restricted, -sanctioned or -embargoed country?

• If yes, please explain:

o Country or countries: _____

o Frequency: _____

o Purpose: _____

16. Have you or any immediate family members, previously held or currently hold, business interests or derive any part of your income from a country designated by the U.S. to be an OFAC-restricted, -sanctioned or -embargoed country?

• If yes, please explain all interests:

o Country or countries: _____

o Percentage of income: _____

o Dollar amount (USD): _____

o Business name: _____

o Nature of business: _____

Client signature: Yuan Zhou Date: _____

INTERNAL USE ONLY

AML PERSONNEL SIGNATURE

AML PERSONNEL PRINTED NAME

DATE SIGNED