

FOREIGN FINDER DUE DILIGENCE FORM

This form must be completed by Finder and signed by a registered principal before any payments can be made to the foreign finder specified in this form pursuant to FINRA Rule 2040.

1. Name and address of Finder:

2. Due Diligence Questions:

(a) If the Finder is an entity, provide:

(i) its jurisdiction of incorporation or organization: _____

(ii) country where prospect(s) resides, if different: _____

(iii) the names of all individuals who will solicit customers referred to Broker:

1. _____
2. _____
3. _____
4. _____

(b) Has the Finder provided documentation that it is validly existing and in good standing under the laws of the jurisdiction of its formation or organization?

Yes / No (circle one). If "Yes" attach to this form or include in the Finder's Due Diligence file.

(c) If the Finder is an individual, state country in which he/she resides: _____

(i) Is the Finder a U.S. citizen? Yes / No

(d) Is the Finder aware of any licenses or registrations that are required in the country in which it is incorporated or solicits business in order to receive compensation from Broker? Yes / No

(i) If "Yes," explain and provide documentation substantiating that the Finder has obtained such licenses or registrations.

(d) Does the Finder engage in any activities that might subject it to registration in the U.S. as a broker/dealer, such as engaging in securities transactions with U.S. persons or by traveling to the U.S. to conduct securities-related activities? Yes / No

(i) If “Yes,” provide explanation here:

(e) Is the Finder (or, if an entity, the Finder or any of the employees listed above), subject to a disqualification under Article III, Section 3 of the Financial Industry Regulatory Authority (“FINRA”) by-laws? Yes / No

(i) Attach all documentation, including WebCRD and other public records searches.

(a) ____ The Finder will not insert or execute any Foreign Client order directly, on platforms or through the Company’s trading desk, and will not process any account document and/or execute the transfer of funds on behalf of any Foreign Client. Finder must initial as evidence of compliance with this requirement .

Signature of Finder : _____/Date: _____

Approved / Declined: _____ Date: _____
Signature of Firm Principal