

Penson Financial Services, Inc US/Foreign Entity Questionnaire

Account Name _____ Account Number _____ Office/AP _____

1. Describe the entity and the nature of its business.
2. List individuals or entities that have contributed capital to the entity.
3. Name all persons having trading authority for the entity.
4. Name any person/entity that receives compensation or other payment directly or indirectly for trading the entity's money?
5. If named in 4, describe the nature of that person or entity's relationship to the beneficial owner(s) and in what form the compensation is provided?
6. How does the entity get investors?
7. How many investors does the entity have?
8. Name any of the individuals/investors in the entity currently operating a commodity pool or commodity fund?
9. Name any of the individuals/investors in the entity that previously operated a commodity pool or commodity fund?
10. If named in 8 or 9, how many commodity funds and how much money are (or were) under management in aggregate?
11. Is the entity foreign?
12. Are there any US owners or investors in the entity?
13. If foreign, is the entity's business conducted from any U.S. location? If so, where?
14. The entity hereby represents to the undersigned that the entity is in compliance with all laws, rules, and regulations applicable to its business in each jurisdiction in which it conducts business.
15. Attach documentary identification of the entity such as articles of incorporation or public registration record.
ADDITIONAL INFORMATION AND/OR DOCUMENTATION MAY BE REQUIRED, DEPENDING ON RESPONSES

AP/Supervisor Signature Print Name

Title

Date