



Penson Financial Futures, Inc.
US/Foreign Entity Questionnaire

Account Name _____ Account Number _____ Office/AP _____

1. Describe the entity and the nature of its business.
2. Who are the beneficial owners of the entity -- whose money is in the entity?
3. Does any person or entity other than the beneficial owner(s) have trading authority?
4. Does any person/entity receive compensation for trading the entity's money?
5. If yes, what is the nature of that person or entity's relationship to the beneficial owner(s)?
6. Are there investors in the entity?
7. If so, how many?
8. How does the entity get investors?
9. Do any of the individuals/investors in the entity operate a commodity pool or commodity fund?
10. If so, how many funds and how much money under management in aggregate?
11. Is the entity foreign?
12. If foreign, are there any US investors in the entity?
13. If foreign, is the entity's business conducted from any U.S. location? If so, where?

ADDITIONAL INFORMATION AND/OR DOCUMENTATION MAY BE REQUIRED, DEPENDING ON RESPONSES

AP/Supervisor Signature

Print Name and Title

Date