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CUSTOMER INFORMATION PROGRAM NOTICE

Important information you need to know about opening a new account

To help the government fight the funding of terrorism and money laundering activities, federal law requires financial institutions to obtain, verify and record information that identifies each person who opens an account.

This notice answers some questions about our Customer Identification Program.

What types of information will I need to provide?

When you open an account, we are required to collect the following type of information:

- Your principal place of business
- Your location
- Your Tax Identification Number
- Legal Entity Documentation (i.e. certified articles of incorporation, government-issued business license, a partnership agreement or a trust agreement)

U.S. Department of the Treasury, Securities and Exchange Commission, FINRA and New York Stock Exchange rules already require you to provide most of this information. These rules also may require you to provide additional information, such as your investment criteria, objectives and risk tolerance.

What happens if I don't provide the information requested or our identity can't be verified?

We may not be able to open an account or carry out transactions for you. If your firm has already opened an account with us, we may need to close it.