

Customer Identification Program

Important Information About New Accounts

In compliance with the USA PATRIOT Act and other applicable regulations, we are required to obtain, verify and record information that identifies each customer who opens a brokerage account or a client who is a party to a non-traditional brokerage transaction.

When you open an account or become a party to a non-traditional brokerage transaction, we will ask you for your name, address, date of birth (for individuals), identification number, and other information that will allow us to identify you. We may also ask you to provide copies of identifying documents (e.g. driver's license), or documents of formation, (e.g. articles of incorporation), as applicable. We may be required to disclose this information pursuant to applicable laws, rules or regulations, but it will otherwise be retained in confidence according to our Privacy Policy.