

***Customer Identification Program Notice***

Federal law requires that we obtain, verify and record information that identifies each person who receives our tax services or opens a Securities Account with us.

**Information you must provide:**

Before providing services or opening a Securities Account we must collect the following information:

- Name (As it appears on your Social Security Card or Employer Account)
- Date of birth or entity formation
- Address
- Telephone
- Identification:
  - U.S. Citizen or Resident: taxpayer identification number (Social Security number or employer identification number) and a copy of both sides of your drivers license or the Identification page of your passport.
  - Non-U.S. Citizen: taxpayer identification number; passport number and country of issuance; alien identification card number; or government-issued identification showing nationality, residence and a photograph of you.

For joint individual tax returns, both spouses must provide the information listed above.

For dependents, we are required to collect Name, Date of Birth, and Identifying Numbers.

Corporations, partnerships, trusts or other legal entities must provide other information, such as its principal place of business, local office, employer identification number, 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, and FINRA rules require you to provide most of this information. For Securities Accounts, these rules may also require you to provide additional information, such as your net worth, annual income, occupation, employment information, investment experience and objectives and risk tolerance.

**If you don't provide the information:**

We may not be able to provide tax services, open a Securities Account, or execute transactions for you.

**EA# 036074, CalBRE License # 01706626, CRD 6499051**

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