

Customer Identification Program - Important Information You Need to Know about Opening a New Account

Due to regulations such as The USA Patriot Act, and FINRA Rules 3110 (Customer Account Information) and 2110 (Know Your Customer), customer identity certification is pertinent to the opening of a new account. In accordance with the Patriot Act, and to help the government fight the funding of terrorism and money laundering activities, financial institutions are required by federal law to obtain, verify and record the identity of individuals engaging in financial transactions.

This means that when you enter in to a new relationship with us, we will seek identification information such as your name, address, date of birth, taxpayer identification number and other identification information. In certain circumstances, we may obtain and verify this information with respect to any person(s) authorized to effect transactions in an account. For certain entities, such as trusts, estates, corporations, partnerships, or other organizations, additional identifying documentation may also be required.

If all required information or documentation requested is not provided, our firm may not be able to open an account or establish a relationship with you.

To obtain more information on the Customer Identification Program and anti-money laundering rules and regulations, please visit FINRA.org.