

Important Information You Need to Know About Opening a New Account with Stock USA Execution Services

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 or entity that opens an account.

This Notice answers some questions about Stock USA Customer Identification Program.

What types of information will I need to provide?

When you open an account, Stock USA is required to collect information such as the following from you:

For Institutional Customers

A corporation, partnership, trust or other legal entity will be asked to provide its principal place of business, local office and tax identification number. Other documents may need to be provided from certain institutions, such as certified articles of incorporation, government-issued business license, a partnership agreement, trust agreement and/or other documents.

For Retail Customers (Individuals)

Name

Date of birth

Physical Address

Identification number:

U.S. Citizen: taxpayer identification number (social security number or employer identification number)

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.

You may also need to show your driver's license or passport

U.S. Department of the Treasury, Securities and Exchange Commission, and FINRA rules already require you to provide most of this information. These rules also may require you to provide additional information, such as your net worth, annual income, occupation, employment information, investment experience and objectives, and risk tolerance.

What happens if requested information is not provided or my identity can't be verified.

Stock USA may not be able to open an account or carry out transactions for you. If Stock USA has already opened an account for you, they may have to close it.

We thank you for your patience and hope that you will support the financial industry's efforts to deny terrorists and money launderers access to America's financial system.

All executions through Stock USA Execution Services, Inc. Member FINRA & SIPC

For Service Call: (800) 874-3039 from 8:00 a.m. to 5:00 p.m. EST or fax (845) 622-4878 or email info@stockusa.com www.SpeedTrader.com/Live Chat

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