MAINSTREET ADVISORS

CUSTOMER IDENTIFICATION 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.

WHAT TYPES OF INFORMATION WILL YOU NEED TO PROVIDE?

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

- Name
- Date of Birth
- Address
- Identification number
  - U.S. Citizen: taxpayer identification number (Social Security 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 need to show your driver's license or other identifying documents.

A corporation, partnership, trust or other legal entity may need to 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 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 net worth, annual income, occupation, employment information, investment experience and objectives and risk tolerance.

WHAT IF YOU DO NOT PROVIDE THE INFORMATION REQUESTED OR YOUR IDENTITY CAN'T BE VERIFIED?

We may not be able to open an account or carry out transactions for you. If we have already opened an account for you, we may have to close it.

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