

Colonial Securities, Inc.

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 this means for you: When you open an account, we will ask for your name, address, date of birth and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents.

Types of Information You Will Need to Provide

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

- Your name
 - Date of birth
 - 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 other identifying documents. We may also screen your name against various databases to verify your identity. All information and documentation will be treated in a manner so as to protect your privacy.

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, articles of incorporation, government-issued business license, a partnership agreement, or a trust agreement.

Securities and Exchange Commission, FINRA, and New York Stock Exchange rules may also require you to provide additional information, such as your net worth, annual income, occupation, employment information, investment experience and investment objectives.

If Your Identity Cannot Be Verified

In certain circumstances we may not be able to open an account or conduct any transactions for you until we have obtained and verified the necessary identification information. If we have opened an account for you, we may have to restrict trading or close it if you do not supply the necessary information or documents, or if we are unable to verify your identity.

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