Important information You Need to Know About Opening a New Account

To help the government fight the funding of terrorism and money laundering activities, Popular Securities Inc. (“PS”) is required by federal law to obtain, verify, and record information that identifies each person who opens an Account with us. This Notice answers some questions you may have about Popular Securities Customer Identification Program.

What types of information will I need to provide?

**Individuals:** When you open an account at Popular Securities, Popular Securities is required to collect information such as the following from you:

1. Name
2. Date of Birth, for a natural person,
3. Address(es):
   - Physical and Mailing address (if different) for a natural person;
   - Physical place of business and mailing address (if different) for a legal entity (corporations, partnerships, among others)
   - **For a U.S. Citizen:** A current and valid Identification Card. The only Identification Cards that will be accepted are: Driver's License, Passport with Photo and Armed Forces Identification Card. The Driver License must show State of Issuance and Expiration Date. Also, a tax payer identification number such as Social Security Number or Employer Identification Number (E.I.N.) must be obtained.
   - **For a Non-U.S. Person with residence in the United States:** Passport number and country of issuance; an alien identification card number; or the number and country of issuance of any other government issued document evidencing nationality and bearing a photograph or similar safeguard.

**Corporations, partnerships and other entities:** Popular Securities may ask a corporation, partnership, trust or other legal entity 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 a trust agreement. U.S. Department of the Treasury, Securities and Exchange Commission, NASD, 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.
What happens if I don’t provide the information requested or my identity can’t be verified?

Popular Securities 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.

*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.*