

**SUCCESS TRADE 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.

This Notice answers some questions about the firm's Customer Identification Program.

**What types of information will I need to provide?**

When you open an account, we are 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.

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, objectives and risk tolerance.

**What happens if I don't provide the information requested or my 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, 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.*

## **Special Measures against Specified Banks pursuant to Section 311 of the USA Patriot Act**

Pursuant to U.S. regulations issued under section 311 of the USA PATRIOT Act, 31 CFR 103.192, we are prohibited from opening or maintaining a correspondent account for, or on behalf of, VEF Bank (Republic of Latvia) or any of its subsidiaries (including Veiksmes lizings).

The regulations also require us to notify you that your correspondent account with our firm may not be used to provide VEF Bank or any of its subsidiaries with access to our financial institution. If we become aware that VEF Bank or any of its subsidiaries is indirectly using the correspondent account you hold at our firm, we will take appropriate steps to prevent such access, including terminating your account.

Should you have any additional questions concerning our customer identification program, you may submit a written request for additional information to our Customer Service Department located at 1900 L. Street NW, Suite 525, Washington, DC 20036.