

## **CLIENT IDENTIFICATION PROGRAM**

### **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, such as Hollencrest Capital Management (HCM), to obtain, verify, and record information that identifies each person (or entity) who opens an account.

**This Notice should answer some of *your* questions about the Customer Identification Program at HCM.**

### **What are the various types of information, and/or documentation that I will need to provide to HCM?**

When you open an account for a person, such as an individual, custodial, joint or IRA account, we are required to collect the following information from you:

- Your name, and if applicable, other account holder names.
- Your date of birth, and if applicable, the date of birth for each additional account holder.
- Your physical home address (required, in addition to any mailing address you may want to use for your account).
- Telephone Number
- Identification number(s):
  - U.S. Citizen: taxpayer identification number (social security number or employer identification number)
  - Non-U.S. Citizen: a 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.
- Your driver's license and/or other identifying document(s), for each account holder. HCM will make a copy of such documentation and retain the information for our records and verification requirements.

When you open an account for a corporation, partnership, trust, or other legal entity, you will need to provide much of the same information as listed above, and the following additional information:

- Principal place of business (a physical address is required).
- If applicable, local office information.

- Federal Employer Identification Number
- Articles of Incorporation, a government-issued business license, Articles of Organization, a partnership, or trust agreement, or depending on the type of entity, other documentation issued by a government agency.
- Identify and verify the identity of the natural persons (known as beneficial owners) of legal entity customers who own, control, and profit from companies when those companies open accounts. (CDD Customer Due Diligence Rule)
- HCM will make a copy of the documentation for our records and verification requirements, and the original(s) will be returned to you.

### **What happens if I do not provide the information requested, or my identity cannot be verified?**

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

***U.S. Department of the Treasury, Securities and Exchange Commission, FINRA, and New York Stock Exchange*** rules already require you to provide much of this information. There are other rules that may require you to provide additional information, such as your net worth, annual income, occupation, employment information, your investment experience, risk tolerance, and personal investment objectives.

Please do not hesitate to call your investment representative or HCM's Operations Department at (800) 838-8951, should you have any questions, comments, or concerns relating to our Customer Identification Program.