

PATRIOT ACT & CIP PROGRAM

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.

Under Section 326 of the USA PATRIOT Act, ACS is required to verify the identity of its clients. Arlington Capital Services, LLC (“ACS”) may utilize the services of outside vendors to assist us with this government-mandated requirement. We appreciate your patience with our compliance efforts.

For purposes of Customer Identification Program, Section 326 defines “account” as a formal relationship with a broker/dealer established to effect transactions in securities, including, but not limited to, the purchase or sale of securities, securities loaned and borrowed activity, and the holding of securities or other assets for safekeeping or as collateral.

When you begin a formal relationship with ACS, we are required to collect the following information:

- 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 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, such as your net worth, annual income, occupation, employment information, investment experience and objectives and risk tolerance.

If you are not able to provide the information requested or your identity can’t be verified, ACS may not be able to carry out transactions for you. If ACS has already opened an account for you, we may have to close it.

Last updated: April 14, 2020.