

## PATRIOT ACT & CIP PROGRAM

### **USA PATRIOT Act Notice**

#### IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT OR ESTABLISHING A NEW CUSTOMER RELATIONSHIP

To help the government fight the funding of terrorism and money laundering activities, Federal law requires all U.S. financial institutions to obtain, verify, and record information that identifies each individual or legal entity that opens an account or establishes a customer relationship with Arlington Capital Services. Federal law also requires all U.S. financial institutions to obtain, verify, and record information that identifies the beneficial owners of a legal entity that opens an account or establishes a customer relationship.

FINRA Rule 3310 defines an "account" as a formal relationship with a broker-dealer established to effect transactions in securities. This has been interpreted to include mergers and acquisitions activity.

What this means for you: If you enter into a new customer relationship with Arlington Capital Services, the Firm will ask for the name, address, date of birth (as applicable) and other identification information of the beneficial owners of the legal entity. This information will be used to verify your identity and, in the case of a legal entity customer, the identity of the beneficial owners. As appropriate, the Firm may, in its discretion, ask for additional documentation or information. If all required documentation or information is not provided, Arlington Capital Services may be unable to open an account or establish a relationship with you.

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