



REVA CAPITAL MARKETS, LLC
Customer Identification Program Notice
A Publication of FINRA

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 all financial institutions to obtain, verify, and record information that identifies each person or entity that opens an account, as well as each authorized person who may act on behalf of the entity.

At a minimum, firms are required to collect information on owners and/or authorized principals such as name, date of birth, address and identification numbers. A Social Security number or Taxpayer ID number is required for each authorized person and a valid passport or another form of government-issued photo ID is required for each authorized person or applicant prior to the opening of an account. If an applicant or authorized person is a non-resident alien, then a copy of his/her passport and indication of country of residence is required as well. A clear, legible copy of both the front and back of the identification must be provided.

A corporation, partnership, trust or other legal entity may need to provide other information as well, 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.

Rules of the U.S. Department of the Treasury, Securities and Exchange Commission, Financial Industry Regulatory Authority ("FINRA"), and the New York Stock exchange already require that the customer provide most of this information. These rules may also require that the customer provide additional information, such as employment information, investment experience, investment objectives and risk tolerance.

What happens if I don't provide the information requested or my identity can't be verified?

Your firm may not be able to open an account for you or carry out transactions for you. If your firm has already opened an account for you, they 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.

Any questions or concerns regarding the Firm's Anti-Money Laundering Policy should be directed to the Anti-Money Laundering Compliance Department.