

### **IMPORTANT INFORMATION ABOUT PROCEDURES FOR 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 account.

What this means for you: when you open an account, we will, for identification requirements, ask for the full name of the entity, legal and mailing address, tax identification number, and documents to identify the existence of the entity such as certified articles of incorporation, partnership agreement, trust instrument, etc. In addition, we will require information about individuals with authority or control over such accounts, including signatories, in order to verify the customer's identity. Furthermore, the account name and those are beneficial owners, both direct and indirect, including those that have authority to act on behalf of the account, will also be compared to names appearing on federal government lists of known or suspected terrorists or terrorist organizations.

Brean Capital, LLC will on occasion verify account information in compliance with regulatory requirements. Contact your representative if you have any concerns about requests for information that you may receive from Brean Capital, LLC.

Brean Capital, LLC. Member of FINRA and SIPC.