

Customer Information Program Notice

Background

Swedbank Securities US, LLC is a broker dealer registered under the Securities Exchange Act of 1934, and a member of FINRA. We are required to comply with all State and Federal rules and regulations. We are required to inform our institutional clients that we will take appropriate measures to verify the identities of customers and other counterparties. We will verify and confirm customer information provided in order to comply with: the “know your customer” rules; anti money laundering rules and laws, and; anti terrorist statutes. We may take any and all of the following actions: verifying any information provided by you; contacting you by telephone; visiting your office; reviewing your website(s); and/or contacting references provided by you; as well as using (as needed) independent investigators, in order to verify your identities and to comply with these statutes.

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 to obtain, verify and record information that identifies each person who opens an account.

This notice answers some questions about our Customer Identification Program.

What types of information will I need to provide?

When you open an account, we are required to collect the following type of information:

- Full Legal Name
- Business Address
- Your Tax Identification Number
- Legal Entity Documentation (i.e. 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, FINRA, NASDAQ rules already require you to provide most of this information. These rules also may require you to provide additional information, such as your investment criteria, objectives and risk tolerance.

Swedbank Securities US, LLC is a broker-dealer registered with the United States Securities and Exchange Commission and a member of FINRA and SIPC.

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

We may not be able to open an account or carry out transactions for you. If your firm has already opened an account with us, we may need to close it.