



Baader Helvea Inc

ANTI-MONEY LAUNDERING

Customer Identity Verification Notice

To help the government fight the funding of terrorism and money laundering activities, federal law requires broker-dealer firms to obtain, verify, and record information that identifies each person who opens an account.

What types of information will you need to provide?

For an individual, when you open an account or establish a relationship, we are required to collect information such as the following from you: Your name, date of birth, address, identification number: U.S. Citizen: taxpayer identification number (social security number or employer identification number) or 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.

For an entity, when an account is opened, we are required to collect information such as the following from the entity: documents showing the existence of the entity, such as certified articles of incorporation, a government-issued business license, a partnership agreement, or a trust instrument.

We may, under the following circumstances, rely on the performance by another financial institution (including an affiliate) of some or all of the elements of our customer identification program with respect to any customer that is opening an account or has established an account or similar business relationship with the other financial institution to provide or engage in services, dealings, or other financial transactions:

Such reliance is reasonable under the circumstances, when the other financial institution is subject to a rule implementing the anti-money laundering compliance program requirements and is regulated by a Federal functional regulator and when the other financial institution has entered into a contract with us requiring it to certify annually to us that it has implemented its anti-money laundering program, and that it will perform (or its agent will perform) specified requirements of the customer identification program.