



**CaptiveX Securities LLC
USA PATRIOT Act
Customer Identification Program Notice
March 22, 2025**

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 (individual or entity) who opens an account.

Types of Information You Will Need to Provide

When you open an account, the Firm is required to collect, verify, and record certain identifying information from you.

When opening an account for yourself or another individual, we will collect the name, address, date of birth, social security number, and other information that will allow us to identify all customers on the account. The Firm may also ask to see a driver's license, passport or other identifying documents.

When opening an account for a corporation, partnership, trust, or other legal entity, the Firm will collect the entity's name, address, and taxpayer identification number. You may also need to provide other information, such as certified articles of incorporation, government-issued business license, a partnership agreement, or a trust agreement. Additionally, legal entity customers may be required to identify and verify the identity of beneficial owners or individuals that have control or are associated with the account.