



CIP NOTICE AND REQUEST FORM

Thank you for opening your investment account with us. In addition to the other forms and information required in order to establish your account, recent changes in the law require that we provide all our new accounts with this notice concerning our compliance with certain antimony laundering requirements applicable to all financial firms, according to our firm’s Customer Identification Program (“CIP”), established pursuant to applicable provisions of the USA PATRIOT Act of 2001.

This is to inform you that, pursuant to recent applicable statutory and/or regulatory requirement or guidance, supplemental customer identification information will be gathered to provide further assurance that customers opening accounts with or through vFinance Investments have provided accurate and complete customer identification information. This is an effort to preclude individuals or entities representing terrorist groups, drug cartels, criminal organizations, or their associates or others known to have engaged in money-laundering activities in the past, from using this firm, or any of its associated persons, as an unwitting conduit for financing their activities. We appreciate your cooperation in helping us fulfill the goals of the USA PATRIOT Act.

IN THIS REGARD, PLEASE RETURN TO US COPIES OF ALL CHECKED ITEMS AND/OR ALL SUPPLEMENTAL INFORMATION REQUESTED FOR OUR FILES (IN ADDITION TO THE NEW ACCOUNT FORM AND ANY OTHER FORMS):

- Driver’s License
- Passport
- Birth Certificate
- Photo ID
- Background Documents
- Personal References
- Other: _____
- _____
- _____
- Articles of Incorporation
- Partnership Agreement
- Trust Certification
- Entity Documentation
- Governmental License/Permit
- Business References

If you have any questions regarding the foregoing, contact your registered representative.

Customer Identification Program Notice

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 your firm's Customer Identification Program.

What types of information will I need to provide?

When you open an account, your firm is required to collect the following information:

- Name
- Date of birth
- Address
- Identification number:
 - U.S. citizen: taxpayer identification number (Social Security number or employer identification number)
 - 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.

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

U.S. Department of the Treasury, Securities and Exchange Commission, NASD and New York Stock Exchange rules already require you to provide most of this information. These rules also may require you to provide additional information, such as your net worth, annual income, occupation, employment information, investment experience and 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 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.