

TZ Clear LLC

Anti-Money Laundering Disclosure

Important information you need to know about opening a new account.

To help the U.S. government fight the funding of terrorism and money laundering activities, federal law requires all U.S. financial institutions to obtain, verify, and record information that identifies each individual or institution that opens an account or establishes a customer relationship with TZ Clear LLC.

THIS NOTICE PROVIDES INFORMATION ABOUT CUSTOMER IDENTIFICATION

What types of information will I need to provide?

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

- Name
- Date of birth
- Address
- Identification number
- Phone number

U.S. citizen: taxpayer identification number (social security number or employer identification number); you may also need to show your driver's license or other identifying government documents.

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.

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, FINRA 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.

Until you provide the information or documents and until your identity has been verified, you may not be able to open an account or effect any transactions through our clearing firm.