



## Customer Identification Program

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 this broker/dealer's Customer Identification Program.

- **What types of information are required to be provided?**

At the time you open an account with us, we are required to collect information such as the following from you:

- Your name
- Your date of birth
- Your address
- An identification number
  - U.S. Citizen: taxpayer identification number (Social Security number or employer identification card)
  - Non-U.S. Citizen: taxpayer identification number, passport number, and country of issuance, alien identification number

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, employee 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.

- **What happens if I don't provide the information requested, or my identity cannot be verified?**

Thurston Springer may not be able to open an account or carry out transactions for you. If we have already opened an account for you, we may have to close it.

We thank you for your patience and cooperation, and hope that you will support the financial services industry's efforts to deny terrorists and money launderers access to America's Financial System.

### Member FINRA and SIPC

Thurston, Springer, Miller, Herd & Titak, Inc. is a member of

- **FINRA** - Financial Industry Regulatory Authority  
1735 K. Street NW, Washington, DC 20006-1516  
[www.Finra.org](http://www.Finra.org)

- **SIPC** - Securities Investor Protection Corporation

An explanatory brochure of the protection afforded to investors by SIPC is available upon request at: [www.SIPC.org](http://www.SIPC.org) or (202) 371-8300.