

USA PATRIOT Act Notice

To help the 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 legal entity that opens an account or establishes a customer relationship with Carta Capital Markets, LLC (“CCMX”).

Federal law also requires all U.S. financial institutions to obtain, verify, and record information that identifies the beneficial owners of a legal entity that opens an account or establishes a customer relationship.

If you enter into a new customer relationship with CCMX, the Firm will ask for certain information including your name, address, date of birth (as applicable) and other identification information. In addition, if you enter into a new customer relationship with CCMX on behalf of a legal entity, we will ask for the names, addresses, dates of birth and other identification information of the beneficial owners of the legal entity.

This information will be used to verify your identity and, in the case of a legal entity customer, the identity of the beneficial owners.

As appropriate, the Firm may, in its discretion, ask for additional documentation or information. If all required documentation or information is not provided, CCMX may be unable to open an account or establish a relationship with you.