

CLIENT IDENTIFICATION PROGRAM

August, 2024

IMPORTANT INFORMATION YOU NEED TO KNOW ABOUT ENGAGING IN A TRANSACTION WITH FARKAS CAPITAL LLC

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 and/or beneficiary owner of an entity who engages in a transaction that we facilitate. This notice answers some questions about that “Customer Identification Program.”

WHAT TYPES OF INFORMATION WILL I NEED TO PROVIDE?

When you open an account, we are required to collect various identification information, which may include, but be limited to, the following:

Individual:

- ✓ 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.

A corporation, partnership, trust or other legal entity:

- ✓ Certificates of formation, or equivalent
- ✓ Bylaws or Articles of Organization, or equivalent
- ✓ Principal place of business, local office
- ✓ Employer identification number
- ✓ Information for any control person that mirrors the Individual information collected above

We also must collect copies of driver’s license or other identifying documents for each Individual identified above.

U.S. Department of the Treasury, Securities and Exchange Commission, and FINRA 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 DO NOT PROVIDE THE INFORMATION REQUESTED OR MY IDENTITY CAN’T BE VERIFIED?

We may not be able to carry out transactions for you.