

Customer Identification Program Notice

This is 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 the Gage Wiley companies’ Customer Identification Program.

What types of information will I need to provide?

When you open an account, Gage Wiley / New England Capital is required to collect information from you including but not necessarily limited to:

- Your 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 will 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, 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 don’t provide the information requested or my identity can’t be verified?

If you already have opened an account, we may have to close it. Gage Wiley may not be able to carry out transactions for you. If a new account is being pursued, Gage Wiley / New England Capital may not be able to accommodate said request.

If you have any questions, you may contact the Compliance Department at 413-584-9121 and we will be happy to discuss all such matters with you.