

Herold & Lantern Investments, Inc.

Customer Identification Program

The following is some important information you need to know before opening a new brokerage account:

To help the US 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.

What will you ask me for when I open an account?

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

Your Name
Date of Birth
Address
Tax ID Number

You may also need to show us your driver's license or other identifying documents. We also may verify your identity through a third party.

A corporation, partnership, trust or other legal entity may need to provide us with other information, such as its principal place of business, local office, employer ID number, certified articles of incorporation, government issued business license, a partnership agreement, or a trust agreement.

You will also be required to provide us with additional information such as your annual income, net worth, tax status, occupation, employment information, investment objective, investment experience, liquidity needs, and risk tolerance.

What will happen if I don't provide the requested information or if my identity cannot be verified?

We may not be able to open an account or carry out requested transactions on your behalf. If we have already opened an account for you, we may be forced to close it.