



Client Identification Program Notice

Important Information You Need to Know About Opening a New Account

To help 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 investment account. This notice answers some of the questions about Eagle Rock Financial Adviser's Client Identification Program.

What types of information will I need to provide?

When you open an account, Eagle Rock Financial Advisers is required to collect information such as the following from you:

- Your name and address
- Date of birth
- 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, NASD, and New York Stock Exchange rules already require you to provide most of this information. The 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 cannot be verified?

Eagle Rock Financial Advisers may not be able to open an account or carry out transactions for you. If you have already opened an account, it may be closed.

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

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