



Anti-Money Laundering

In order to prevent money laundering activities, the Federal government has required financial institutions to obtain, verify, and record information that would properly identify each individual who opens a financial account. The information below is used to disclose to individuals what questions they might be asked and what information they may be asked to provide in order for CoreCap to meet and fulfill its Customer Identification Program when opening a financial account.

Information that Individuals Need to Provide

When opening a financial account through CoreCap, the following information is required:

- Full Name;
- Address;
- Date of Birth;
- Identification Number:
 - US Citizen:
 - Taxpayer identification number (such as Social Security Number or employee identification number), or
 - Non-US Citizen:
 - Tax payer identification, passport number, and country of issuance, alien identification card number, or government-issued identification showing nationality, residence, and a photograph of the individual.
 - Additional Documentation may include:
 - Driver's License or other identifying documentation.

If opening a financial account through CoreCap as a corporation, partnership, trust or other legal entity, the following information may need to be provided:

- Principal Place of Business;
- Local Office;
- Employer Identification Number (EIN)
- Certified Articles of Incorporation (AOI);
- Government issued business license; or
- A Partnership or Trust Agreement.

As required by other Federal governmental bodies and regulations such as the United States Department of Treasury, Security and Exchange Commission (SEC), Financial Industry Regulation Authority (FINRA), and the New York Stock Exchange (NYSE) other information is already required such as:

- Individual's net worth;
- Individual's annual income;
- Individual's occupation;
- Individual's employment information;
- Individual's investment experience and objectives;
- Individual's risk tolerance.

*If the requested and required information is not provided than a financial account may not be opened