



BAIRD

## Important Information About the Data We Gather from You

To help the government fight the funding of terrorism and money laundering activities, federal law requires financial institutions like Baird to obtain, verify and record information that identifies each person who opens an account.

This notice answers some questions about Baird's Customer Identification Program. ►

**BAIRD IS REQUIRED TO COLLECT AND CONTINUALLY UPDATE THE FOLLOWING INFORMATION FROM OUR CLIENTS IN ACCORDANCE WITH RULES SET BY THE U.S. DEPARTMENT OF THE TREASURY, SECURITIES AND EXCHANGE COMMISSION AND FINRA:**

- 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 may also need to show your driver's license or other identifying documents.

A corporation, partnership, trust or other legal entity must 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.

In addition, FinCEN Bank Secrecy Act rules regarding customer due diligence requirements obligate Baird to identify and verify the identity of persons acting on behalf of entities, along with control persons and equity owners of legal entity clients. In these situations, certain identifying information regarding the control person(s) and equity owner(s), name, address, date of birth and social security number, must be provided to Baird to the extent required by such rules.

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 REQUIRED OR MY IDENTITY CAN'T BE VERIFIED?**

No new Baird accounts will be opened, and any existing Baird accounts will be blocked from all trading and will be subject to closure.