

U.S. PATRIOT ACT REQUIREMENTS  
For new Accounts

The Department of Treasury and the Securities and Exchange Commission jointly issued final rules to implement section 326 of the USA PATRIOT ACT. The rules require brokers/dealers to verify the identity of any person seeking to open an account.

In accordance with the new rules, Hudson Securities, Inc. must request that all new customers provide identifying information at the time they open their accounts.

When you return the enclosed new account materials, **please provide a copy of a valid Driver's License or Passport.** If you are a non U.S. citizen, you must also supply a Alien Identification Card, or other government issued document containing a photograph and evidencing your nationality and residence.

Please remember to return you original, signed documents so that we may process your account properly.

Thank you for your cooperation.

# **HUDSON SECURITIES, INC.**

## Customer Identification Program

The Department of Treasury and the Securities and Exchange Commission jointly used final rules to implement section 326 of the USA PATRIOT ACT. The rules require broker/dealers to verify the identity of any person seeking to open an account.

In accordance with the new rules, Hudson Securities, Inc. must request that all new customers provide identifying information at the time they open their account.

If you are an Individual or Joint Account, please provide a copy of a valid Drivers License or Passport. If you are a non U.S. Citizen, you must also supply a Alien Identification Card, or other government issued document containing a photograph, and evidencing your nationality and residence.

The firm (regulated by a Federal functional regulator) holding custody of funds and securities for a DVP Account may provide a letter to Hudson certifying annually that it has implemented its own AML Program and will perform the requirements of the CIP Rule.

Thank you for your cooperation.

# HUDSON SECURITIES, INC.

## OPENING A NEW ACCOUNT - (CIP) PROCEDURES FOR AML

- 1 Notice will be provided to customer either in person, or faxed.
2. Client will provide Hudson required information with a photograph I. D.
3. The Operations Department will do a search of the customer on OFAC for blocked persons and corporations. The website address [www.nasdr.com/ofac/](http://www.nasdr.com/ofac/) is where the search will be conducted.
4. The Operation Department will then print the results of the names provided by OFAC and then it will be compared to Hudson's customer. If the customer is found to be on the OFAC list, the account will not be opened. If the customer does not show up on OFAC list, it will then be forwarded to GSEC to open the account. The Operations Department will date and initial the document and it will be placed in the client's folder.

# HUDSON SECURITIES, INC.

## INDIVIDUAL or JOINT ACCOUNTS

1. NAME
2. Date of Birth
3. ADDRESS (P.O. Box will not be accepted)
4. TOWN
5. STATE
6. ZIP CODE

# **HUDSON SECURITIES, INC.**

## **U. S. CORPORATIONS, PARTNERSHIPS, TRUSTS, HEDGE FUNDS (Identity of Accountholder)**

1. NAME
2. ADDRESS (Physical Location)
3. TAX ID #
4. ARTICLES OF INCPORATION
5. SUBSCRIPTION AGREEMENTS
6. CORPORATE RESOLUTION
7. PARTNERSHIP AGREEMENT
8. TRUST AGREEMENT
9. PRESIDENT SOCIAL SECURITY #
10. BOARD MEETING (MINUTES) STATING THE PRESIDENT'S NAME

# **HUDSON SECURITIES, INC.**

## **NON –U.S. PERSON**

1. TAX PAYER IDENTIFICATION #
2. PASS PORT NUMBER & COUNTRY OF ISSUANCE
3. ALIEN IDENTIFICATION CARD # OR ANY OTHER GOVERNMENT –  
ISSUED DOCUMENT EVIDENCING NATIONALITY OR RESIDENCE  
AND BEARING PHOTOGRAPH.