



Customer Identification Program (“CIP”) Notice

Important Information You Need to Know

To help the government fight activities that fund terrorism and enable money laundering, federal law requires financial institutions to obtain, verify and record information identifying everyone involved with executing a transaction.

This notice answers two common questions about the Triple P Securities, LLC (“Triple P”) CIP.

1. What types of information are collected

When you participate in a transaction as an **individual**, Triple P is required to collect the following information

- Name
- Date of birth
- Address
 - Identification number
 - Citizenship
 - > US citizen – taxpayer identification number (Social Security number or employer ID number)
 - > Non-US 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.

When you participate in a transaction as an **entity** (i.e., a corporation, partnership, trust or other legal entity), the following information is collected

- Principal place of business
- Local office
- Employer Identification Number (“EIN”)
- Certified Articles of Incorporation
- Government-issued business license
- Partnership agreement or a Trust agreement

The Financial Industry Regulatory Authority (“FINRA”), US Treasury Department and Securities and Exchange Commission (“SEC”) rules also require you to provide most of this information.

These 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.

2. What if this information cannot be provided, or an individual's identity cannot be verified

Triple P may be required to decline engagement in your transaction