



PATRIOT ACT NOTICE TO OUR CUSTOMERS

Compliance with the USA Patriot Act of 2001

TO OUR VALUED CUSTOMERS:

Since the events of September 11, 2001, there have been many changes in our industry. We welcome many of these changes as they are in place for your protection and that of our country.

One major change is the implementation of the USA PATRIOT ACT OF 2001. This ruling, issued by the US Government, requires that all financial institutions monitor and review accounts for possible money laundering activities. Money laundering is the effort to "hide" illegal monetary assets from the authorities and to use these assets for further illegal gains or illegal activities. The ACT also requires that financial institutions verify customer's identities.

In the effort to comply with the 2001 PATRIOT ACT, Conceptual Financial Advisors, LLC has implemented procedures to monitor and review customer accounts. We will also attempt to verify customer identities in the least intrusive manner possible. We have taken great steps to ensure that, in meeting these requirements, we will continue to treat you in a manner that will respect and protect your privacy.

To comply with the USA PATRIOT ACT OF 2001, we will require the following information to open and maintain an account with Conceptual Financial Advisors, LLC:

This information* is required for all owners of the account(s):

- 1. Name(s)**
- 2. Date of Birth**
- 3. Legal and Mailing Address**
- 4. Social Security number or Tax ID number**
- 5. Employment information**
- 6. Suitability information**
- 7. Bank information**
- 8. Drivers License information or other government identification.**
- 9. Information about assets "held away" at other institutions**

***PLEASE NOTE THAT OTHER INFORMATION MAY BE REQUIRED FOR BUSINESSES OR CORPORATIONS.**

***FURTHER INFORMATION WILL BE REQUIRED FOR FOREIGN NATIONALS.**

*THIS INFORMATION IS NECESSARY TO OPEN OR MAINTAIN AN ACCOUNT WITH
CONCEPTUAL FINANCIAL ADVISORS, LLC
WE WILL MAKE EVERY EFFORT TO PRESERVE YOUR RIGHTS TO PRIVACY*