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Regulatory Disclosure Statement

The following information is provided by RMB Securities ("RMBS" or the "Firm") as required by the rules of the Financial Industry Regulatory Authority ("FINRA"), federal securities laws Securities and Exchange Commission ("SEC") and other state regulatory requirements.

USA PATRIOT ACT Customer Identification Program Notice

IMPORTANT INFORMATION YOU NEED TO KNOW ABOUT OPENING A NEW ACCOUNT

To help the government fight the funding of terrorism and money laundering activities and pursuant to the USA PATRIOT ACT Section 326, federal law requires financial institutions to obtain, verify and record information that identifies each person who opens an account.

This notice answers some questions about the Firm's Customer Identification Program.

What types of information will I need to provide?

When you open an account, RMBS' executing broker, FirstRand Bank (London Branch), will collect the following information to comply with the USA PATRIOT ACT:

- Name of entity
- Business Address
- IRS Tax Identification Number
- Names of Individuals or entities having significant ownership interest in or control over your entity
- Authorized Traders
- Business license and/or Organizational Agreements
- Financial Statements (optional)

You may also need to provide FirstRand Bank (London Branch) with other identifying information such as a government issued passport or driver's license.

What happens if I don't provide the information requested or my identity can't be verified?

The Firm may not be able to open an account or carry out transactions for you. If the Firm has already opened an account for you, they may have to close it.

RMB Securities USA Inc.

75 Rockefeller Plaza, Suite 23A, New York, NY 10019
Direct line: +1 914-987-8668

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