



FIRST MIDWEST SECURITIES, INC.

Member FINRA/SIPC/MSRB
www.firstmidwestsecurities.com

Important Information You Need to Know About Opening a New Account at First Midwest Securities, Inc. (FMSI).

Important Information about Procedures for Opening a New Account

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

What Does this Mean to You?

When you open an account, FMSI is required to collect information such as the following from you:

- Your Name
- Date of Birth
- Physical Address
- Identification Number:
 - U.S. Citizen- taxpayer identification number
 - Non- U.S. Citizen-taxpayer identification number, passport information including:
 - Number
 - Country of Issuance
 - Nationality
 - Residence
 - Photograph

You may also need to furnish a copy of your driver's license or other identifying documents.

Corporations, partnerships, trusts, or other legal entities may need to provide other information, such as; principal place of business, local office, employer identification number, certified article of incorporation, government- issued business license, a partnership agreement, trust certification of investment powers, or a trust agreement.

The U.S Department of the Treasury, Securities and Exchange Commission, the Financial Industry Regulatory Authority, and the New York Stock Exchange rules already require you to provide most of this information. It may be necessary to require further information such as; income, net worth, occupation, employment information, investment experience, objectives and risk tolerance.

What If I Refuse to Provide this Information?

FMSI will refuse to open the account and place trades for your accounts. If FMSI has already opened an account for you, the firm reserves the right to close the account.

If you have any questions regarding First Midwest Securities, Inc. Client Identification Program please contact us at (309) 820-7444.