

**INTE Securities LLC**  
**42 Broadway, Suite 12-128**  
**New York, NY 10004**

**Customer Identification Program Notice**

To help the government fight money laundering activities and the funding of terrorism, federal law requires financial institutions to obtain, verify and record information that identifies those with whom we transact securities business.

For individuals, our firm is required to collect the following information:

Name          Date of Birth          Address          Identification number

You may also need to show your driver's license or other identifying documents.

A corporation, partnership, trust or other legal entity may need to provide other information, such as its principal place of business, local office, employer identification number, certified articles of incorporation, government-issued business license, a partnership agreement, or a trust agreement.

**Privacy Notice**

INTE Securities LLC protects the confidentiality and security of information we collect about our customers. We will not share nonpublic personal information about you with third parties, except for the specific purposes described below.

We limit the collection and use of information to the minimum we require to deliver our services to you. Such service includes maintaining your accounts with us, processing transactions requested by you, and administering our business.

We get information directly from you when you apply for, access, and use financial products and services offered by us – whether in person, by telephone, or electronically. Our employees are required to protect the confidentiality of your information and to comply with our established policies. We maintain physical, electronic and procedural safeguards to protect your information.

We may disclose any kind of your information when we believe it necessary for the conduct of our business, or where disclosure is required by law. Except in those limited situations, we will not make any disclosure of your information to other companies that may want to sell their products or services to you. Our Privacy Policy will apply even if you are no longer a customer of our firm.

**Our Business Continuity Plan**

Our Business Continuity Plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of a significant business disruption.

In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site (if necessary) and would expect to recover and resume business quickly. In a disruption affecting our business district, city, or region, we will most likely transfer our operations to a site outside of the affected area, and then attempt to promptly recover and resume business. Under all scenarios, we plan to continue in business and to notify you regarding how to contact us. If the business disruption is so severe that it prevents us from remaining in business, we will arrange notification for our customers relative to how they might be affected.

If after a significant business disruption you cannot contact us as you usually do at 212-897-1694, you may email us at [obsbaum@intesecurities.com](mailto:obsbaum@intesecurities.com) .

## **SIPC**

You may obtain information about SIPC, including the SIPC brochure by contacting SIPC. The Web site address for SIPC is [www.sipc.org](http://www.sipc.org). The telephone number for SIPC is (202) 371-8300.

**Please contact us for more details on any of these issues.**