

ESF Equity, LP

Customer Identification Program Disclosure

Important Information You Need to Know When Entering Into an Agreement for Services With ESF Equity, LP

To help the government fight financial crime, Federal regulation requires certain financial institutions to obtain, verify, and record information about the beneficial owners of legal entity customers. Legal entities can be abused to disguise involvement in terrorist financing, money laundering, tax evasion, corruption, fraud, and other financial crimes. Requiring the disclosure of key individuals who own or control a legal entity (i.e., the beneficial owners) helps law enforcement investigate and prosecute these crimes.

What types of information will you have to provide?

The firm does not hold individual accounts, however if we did, at the time you enter into an agreement with the firm, we are required to collect information such as the following from you:

1. Name/Address/DOB
2. Information on whether a customer or a family member works for another FINRA member, if they or a family member is a senior executive or 10% shareholder of a publicly traded company and whether they are a politically exposed person.
3. Employment status
4. Annual income
5. Net worth (excluding value of primary residence)
6. Investment objectives
7. Form of Identification

For institutional accounts, we are required to obtain information to confirm your existence, registration, control people, officers, and possible sanctions.

Form of Identification may be presented in the following ways:

U.S. Citizen: taxpayer identification number (social security number or employer identification number)
Non-U.S. Citizen: taxpayer identification number, passport number and country of issuance, alien identification 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.

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

U.S. Department of the Treasury, Securities and Exchange Commission, FINRA and New York Stock Exchange rules already 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.

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

We may not be able to carry out transactions for you. If we have already entered an engagement, we may have to close it.

WE THANK YOU FOR YOUR SUPPORT OF OUR EFFORTS TO DENY TERRORISTS AND MONEY LAUNDERERS ACCESS TO AMERICA'S FINANCIAL SYSTEM