



USA PATRIOT ACT & Anti-Money Laundering Program Attestation Form

Firm Name: _____

CRD Number: _____

Address: _____

Telephone Number: _____

Facsimile Number: _____

The undersigned Anti-Money Laundering Compliance Officer, having agreed to perform certain procedures as required by Section 326 of the USA PATRIOT Act, The Bank Secrecy Act ("BSA") and the statutes, rules and regulations administered by the Office of Foreign Assets Control ("OFAC") and the Financial Crimes Enforcement Network ("FinCEN"), hereby certifies that the firm, named above, has implemented an AML Program in compliance with all applicable anti-money laundering statutes, rules and regulations, including without limitation the USA PATRIOT Act, the BSA, and the statutes, rules and regulations administered by OFAC and FinCEN, which AML program includes the following:

- The designation of an AML Compliance Officer;
- An AML Program consisting of policies, procedures, and controls;
- A Customer Identification Program as prescribed in section 326 of the USA PATRIOT Act of 2001;
- A process designed to comply with the requirements of OFAC;
- An ongoing employee AML training program; and
- An independent audit to test the effectiveness of the AML Program, including but not limited to CIP, OFAC and employee training.

(Signature of AML Compliance Officer)

(Print Name of AML Compliance Officer)

Date