

Important Client Notices — FINRA Rule 4370

Effective: May 2026 / Member: FINRA / SIPC

USA PATRIOT Act — Customer Identification Program Notice

ICA, LLC has instituted a Customer Identification Program (“CIP”) in fulfillment of its obligations under the USA PATRIOT Act. This important federal regulation is designed to prevent, deter, and, where necessary, prosecute those who seek to manipulate the U.S. financial system. Your assistance in meeting our obligations under the Act is part of a global effort to combat terrorism — denying terrorists and others engaged in illicit activity access to our financial services network.

Important Notice to All Customers

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

What This Means for You

When you open an account, we will ask for your name, address, date of birth, and other information that will allow us to identify you. We may also ask to see your driver’s license or other identifying documents. Consistent with the Act, ICA’s Customer Identification Program reinforces a broker-dealer’s responsibility of becoming familiar with its clients. We may therefore ask you to provide identification documents or other information. ICA will endeavor to secure this information in accordance with its Privacy Policy.

Questions or Additional Information

If you have questions about the USA Patriot Act Client Notice, please do not hesitate to contact us:

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