

Finantia USA Inc. is a broker-dealer registered with the SEC and a member of FINRA and SIPC and can engage in permitted activities in the U.S., namely, transactions with U.S. Citizens.

Customer Identification Program (CIP) – Notice

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 person with whom we transact securities business. The CIP rule implements Section 326 of the Patriot Act.

Finantia USA Inc. requires information from its customer/counterparty to form a reasonable belief that it knows their true identity. For a legal entity, we require certain information to be provided, such as name, address, tax identification number and beneficial ownership information. We may also require documentation such as articles of incorporation, government-issued business license, and principal place of business.

Privacy Policy - Notice

Finantia USA Inc. and its employees fulfill the legal requirement to protect the customer/counterparty privacy, maintaining the confidentiality and security of their information.

The information obtained, verified and recorded from a customer/counterparty is sufficient to deliver Finantia USA Inc. services that includes maintaining accounts, processing transactions and complying with mandatory reports to the competent authorities.

Finantia USA Inc. maintains physical, electronic and procedural safeguards to protect customer/counterparty information.

This Privacy Policy will apply even after the business relation/transaction with the customer/counterparty terminates.

Business Continuity Plan

Finantia USA Inc has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

Contacting Us – If after a significant business disruption, where you cannot contact us by the usual number at +1 786-418-6720 or by the usual e-mail finantia.usa@finantia.com, and only in these circumstances, contact the alternative number +1-212-891-7305.

Finantia USA Inc.

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Our Business Continuity Plan – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm’s books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; counterparty impact; and regulatory reporting if we are unable to continue our business.

Varying Disruptions – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas; the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations and employees to work remotely and expect to recover and resume business between 24 hours to 72 hours. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area and recover and resume business within 72 hours. In either situation, we plan to continue in business, and notify you through our customer emergency number +1 786.418.6720, how to contact us.

For more information – If you have questions about our business continuity planning, you can contact us via email at finantia.usa@finantia.com or +1 786.418.6720.

SEC disclosure – you may obtain information regarding Finantia USA Inc. registration by visiting the website: <https://www.sec.gov/cgi-bin/browse-edgar?CIK=1000316>

FINRA disclosure – you may obtain FINRA’s Broker Check Report on Finantia USA Inc. by assessing the link available at: https://files.brokercheck.finra.org/firm/firm_39120.pdf

SIPC disclosure – you may obtain information about SIPC, including the SIPC brochure, by contacting SIPC by phone at (202) 371-8300, by e-mail (asksipc@sipc.org) or by visiting the website <https://www.sipc.org/list-of-members/>

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