FINANTIA USA INC.

Revised October 2026

Finantia USA Inc. is a broker-dealer registered with the SEC and a member of FINRA and SIPC. It engages in activities permitted under applicable U.S. securities laws and regulations, including transactions with U.S. persons.

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 conduct securities business. The CIP Rule implements Section 326 of the USA PATRIOT Act.

Finantia USA Inc. requires information from its customers and counterparties to form a reasonable belief that it knows their true identity. For legal entities, we require certain information, including name, address, tax identification number and beneficial ownership information. We may also require supporting documentation, such as articles of incorporation, a government-issued business licence, and evidence of the principal place of business.

Privacy Policy – Notice

Finantia USA Inc. and its employees are committed to protecting the privacy of customers and counterparties and maintaining the confidentiality and security of their information.

The information obtained, verified and recorded from customers and counterparties is used to provide Finantia USA Inc.'s services, including maintaining accounts, processing transactions and complying with legal and regulatory reporting obligations.

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

This Privacy Policy shall continue to apply even after the business relationship or transaction with the customer or counterparty has terminated.

Business Continuity Plan

Finantia USA Inc. has developed a Business Continuity Plan ("BCP") describing how we will respond to events that significantly disrupt our business. As the timing and impact of disasters and disruptions are inherently unpredictable, we must remain flexible and respond appropriately to actual events as they occur. Accordingly, we are providing the following summary of our Business Continuity Plan.

Contacting Us

Following a significant business disruption, if you are unable to contact us using our primary telephone number (+1 786-418-6720) or our usual email address (finantia.usa@finantia.com), you may contact us, solely for these purposes, at the alternative telephone number +1 212-891-7305.

Our Business Continuity Plan

We intend to recover and resume business operations as quickly as practicable following a significant business disruption. Our response will include safeguarding employees and property, conducting financial and operational assessments, protecting the firm's books and records, and enabling customers to continue conducting business with us.

Our Business Continuity Plan is designed to facilitate the resumption of operations as quickly as possible, taking into account the scope and severity of the disruption.

The plan addresses, among other matters:

- Data backup and recovery;
- Mission-critical systems;
- Financial and operational assessments;
- Alternative communications with customers, employees and regulators;
- Alternative work locations for employees;
- Counterparty impacts; and
- Regulatory reporting obligations if we are unable to continue operating our business.

Varying Disruptions

Significant business disruptions may vary in scope and may affect only our firm, a single building, the business district in which we operate, the city in which we are located, or an entire region. The severity of a disruption may likewise range from minimal to severe.

In the event of a disruption affecting only our firm or the building in which we operate, we expect to transfer operations to remote-working arrangements and resume normal business activities within 24 to 72 hours.

In the event of a disruption affecting our business district, city or region, we expect to transfer operations to an alternative location outside the affected area and resume operations within 72 hours.

In either case, we intend to continue operating and will provide updated contact information through our customer emergency telephone number, +1 786-418-6720.

Additional Information

If you have any questions regarding our Business Continuity Plan, please contact us at finantia.usa@finantia.com or +1 786-418-6720.

SEC Disclosure

Information regarding the registration of Finantia USA Inc. may be obtained through the SEC's EDGAR database:

SEC EDGAR – Finantia USA Inc.

FINRA Disclosure

FINRA's BrokerCheck Report for Finantia USA Inc. is available at:

FINRA BrokerCheck Report

SIPC Disclosure

Information regarding SIPC, including the SIPC brochure, may be obtained by contacting SIPC at (202) 371-8300, by email at asksipc@sipc.org, or through the following website:

SIPC Member Information