



BNY MELLON

October 2023

BNY Mellon Capital Markets, LLC's Annual Letter to Customers

Dear Valued Customer:

Please be advised that pursuant to FINRA's Investor Education Rule 2267, BNY Mellon Capital Markets, LLC, ("BNYMCM" or "the Firm") shall, with a frequency of not less than once every calendar year, provide to you in writing the following items of information:

- BNYMCM is registered with the SEC, FINRA, MSRB, and a member of the Securities Investor Protection Corporation (SIPC). For information about your rights, please see www.sipc.org.
- Clearing, custody, execution or other brokerage services may be provided by its affiliate, Pershing LLC, registered with the SEC, FINRA, MSRB, NYSE, and a member of SIPC. Trademark(s) belong to their respective owners.
- Should you require any communication with BNYMCM's regulator, FINRA, the following contact information should be used:
 - o FINRA Brokercheck Hotline Number: (800) 289-9999 or <https://brokercheck.finra.org/>
 - o FINRA website address: www.finra.org
- An investor brochure that includes information describing FINRA BrokerCheck may be obtained from the FINRA website (www.finra.org).
- An investor brochure and a municipal advisory brochure that describe the protections available under MSRB rules and instructions on how to file a complaint with an appropriate regulatory authority can be found on the MSRB website (www.msrb.org).

Additional Disclosure Information:

- Please use the below website address(es) to review BNYMCM's Business Continuity Plan and Privacy Notice.
- Included as well is BNYMCM's Disclosure of Additional General Terms and Conditions. By continuing to do business with BNYMCM, you accept and agree to these terms and conditions.
- Certain information regarding BNYMCM's order routing practices is required to be disclosed under SEC Rule 606 ("Disclosure of Order Routing Information"). Such information is also available via an electronic link provided on the BNYMCM website address(es) below.
<https://www.bnymellon.com/us/en/disclaimers/business-disclaimers.html#capmarkets-us>
<https://www.bnymellon.com/content/dam/bnymellon/documents/pdf/disclaimers/bny-mellon-capital-markets-llc-business-continuity-planning-disclosure.pdf>
<https://www.bnymellon.com/content/dam/bnymellon/documents/pdf/disclaimers/bny-mellon-capital-markets-llc-disclosure-of-general-terms-and-conditions.pdf>
<http://public.s3.com/rule605/bkcm/>
<http://public.s3.com/rule606/bkcm/>

Hard copies of any disclosures are also available upon written request to your specific BNYMCM representative.

Counterparty Documentation:

During the initial account onboarding, you provided an array of documents and information. Periodically, BNYMCM also asks that you affirm to us that this information has not materially changed.

If any of the below items have changed since we've began our trading relationship, please provide current/updated information to your specific BNYMCM representative:

- o Name, address, phone number, or tax id;
- o Firm identifying documentation (e.g., articles of incorporation, partnership agreement, etc.)
- o QIB status if you recently provided a QIB certification to BNYMCM;
- o Trading Authorization (additions or amendments to any persons, etc.); and
- o Any other potential documentation or notice of event(s) material to our ongoing relationship.

If you have any questions regarding the above information, you may contact your specific BNYMCM representative. Thank you for your continued business.

Sincerely,

BNY Mellon Capital Markets, LLC

BNY Mellon Capital Markets, LLC ("BNYMCM") is a subsidiary of The Bank of New York Mellon Corporation.