

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 and implemented a Business Continuity Plan (BCP) to respond to events that may imply significant business disruptions.

Our BCP took in consideration several events, like natural disasters, pandemics, terrorist or cyber-attacks, and was designed to ensure a quick response, by first, safeguarding our employees, our property, making a financial and operational assessment, protecting the firm's books and records and allowing our customers/counterparties to transact business.



Emergency contact information: in case of a significant business disruption, where it is not possible to contact Finantia USA Inc. by the usual number [+1 786-418-6720] or by the usual e-mail finantia.usa@finantia.com, and only in these circumstances, contact the alternative number [+1 908-872-2014].

Our clearing firm is also required to have (and has) a plan to restore its own operations and be able to complete existing transactions and accept new transactions and payments promptly. However, customer/counterparty orders and requests for funds and securities could be delayed during this period.

If you have questions about our BCP feel free to call us.

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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