

# C.L. KING & ASSOCIATES

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## C.L. KING & ASSOCIATES, INC. DISCLOSURES

### **Notice to Customers Regarding Information Collected for Customer Identification Purposes**

To help the US government fight the funding of terrorism and money laundering activities, C.L. King & Associates, Inc. ("CLKA") is required by the USA Patriot Act and FINRA Rule 3310 to obtain, verify, and record information that identifies each client. As such, CLKA has established a Client Identification Program ("CIP") and will collect certain information such as entity name, physical address, tax identification number as well as any other information that will allow CLKA to identify that entity and to demonstrate compliance with these regulations. CLKA may also request to obtain identifying documents, such as formation documents, business licenses or similar records.

A corporation, partnership, trust or other legal entity may need to provide other information such as certified articles of incorporation, government-issued business registration/license, partnership agreement, etc. In some cases, we may also ask for additional documents.

### **SIPC**

C.L. King & Associates, Inc. is a member of the Securities Investor Protection Corporation ("SIPC"). SIPC is a United States government sponsored agency designed to help investors in the event of a brokerage firm failure. You may obtain more information about SIPC, including the SIPC brochure by contacting SIPC at:

Securities Investor Protection Corporation  
805 15<sup>th</sup> St. NW, Suite 800  
Washington, DC 20005-2215  
Tel: (202) 371-8300 Fax: (202) 371-6728  
Email: [asksipc@sipc.org](mailto:asksipc@sipc.org)  
Website: <http://www.sipc.org>

### **Investor Education and Protection**

You may reach FINRA by calling the FINRA BrokerCheck Hotline at (800) 289-9999 or by viewing FINRA BrokerCheck online at [www.finra.org](http://www.finra.org). A brochure describing the FINRA BrokerCheck Program is also available from FINRA upon request.

### **Statement of Financial Condition**

Customers may obtain the Firm's annual audited financial statements and semi-annual un-audited financial statements by contacting the Compliance Department at (518) 431-3555.

**MSRB Rule G-10: Investor Protection**

C.L. King & Associates, Inc. is registered with the U.S. Securities and Exchange Commission (SEC) and the Municipal Securities Board (MSRB) and we are required to inform you of the availability of the MSRB Investor Brochure, which describes the protections that may be provided by the MSRB rules and how to file a complaint with an appropriate regulatory authority.

The MSRB Investor Brochure can be found on the MSRB's website at [www.msrb.org](http://www.msrb.org).

*If you have any questions or need additional information regarding any of these disclosures, please contact your sales representative or the Compliance Department at (518)431-3555.*