



Bank Secrecy Act/Anti-Money Laundering CIP and OFAC Certification

This certification is designed for financial institutions requesting documentation of The Baker Group LP's ("TBG") compliance with the Bank Secrecy Act ("BSA")/Anti-Money Laundering ("AML") and Office of Foreign Assets Control ("OFAC") laws and regulations.

- TBG is a broker-dealer registered with the U.S. Securities and Exchange Commission ("SEC") and is a member of the Financial Industry Regulatory Authority ("FINRA").
- TBG is regulated by a "federal functional regulator" as that term is defined under 31 C.F.R. 1010.100(r).
- TBG is required to implement an anti-money laundering program ("AML Program") as provided in 31 U.S.C. 5318(h), and has implemented an AML Program that is designed to be compliant with relevant United States anti-money laundering laws and regulations including the USA PATRIOT Act. TBG's AML Program includes written policies and procedures, a designed Anti-Money Laundering Compliance Officer, ongoing anti-money laundering training for appropriate employees, suspicious transaction monitoring and reporting, approval by senior management, and an independent audit to test the efficacy and implementation of the Program.
- TBG has a written Customer Identification Program ("CIP") consistent with Section 326 of the USA PATRIOT Act and the rules promulgated thereunder; and it performs the requirements set forth in its written CIP.
- TBG has adopted procedures reasonably designed to comply with the laws, regulations, and Executive Orders administered by the U.S. Treasury Department's Office of Foreign Assets Control ("OFAC"), including the List of Specially Designated Nationals and Blocked Persons administered by the OFAC, as such list may be amended from time to time.
- TBG retains relevant documentation with respect to its customers, including any identification information, obtained in accordance with the above procedures for six (6) years after the date on which a customer account is closed or made inactive.

Misty W. Wrinkle
Chief Compliance Officer and AML Officer
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