



NOTICE OF PRIVACY POLICY

INFORMATION WE COLLECT AND MAINTAIN

- Information we receive from you to open an account including your address, telephone number, social security number and financial information;
- Information that we generate from transactions in your account such as trade receipts and account statements;
- Information that we receive from third parties who service your account such as trade confirmations.

HOW WE USE THIS INFORMATION

In order for us to provide investment services on your behalf, we disclose your personal information as described above in very limited instances to affiliated and nonaffiliated third parties only as permitted by law.

HOW WE PROTECT YOUR PERSONAL INFORMATION

- Maintaining physical, electronic and other procedural safeguards that comply with federal standards to guard your personal information;
- Limiting access to confidential information to only those supervised people who need to know it within the scope of their employment;