

Fortis Clearing Americas LLC (FCA) Consumer Privacy Statement

Protecting customer privacy is important to FCA and FCA employees. FCA believes that confidentiality and protection of customer information is one of FCA's most fundamental responsibilities. As an existing or a potential customer, you have an interest in how FCA collects, uses, retains and secures personal information. The following is FCA's Privacy Policy effective since January 1, 2006:

FCA collects nonpublic personal information about customers from the following sources:

- Information FCA receives from customers on account applications or other forms;
- Information about customer transactions with FCA, FCA affiliates, or others; and
- Information FCA receives from a consumer reporting agency.

FCA may disclose the following kinds of nonpublic personal information about customers to FCA affiliates in the ordinary course of business in accordance with the opening, supervision and risk management of customer accounts,

- Information FCA receives from customers on applications or other forms, such as customer name, address, social security number, assets, and income
- Information about customer transactions with FCA, FCA affiliates, or others, such as customer account balance, financial information, parties to transactions, other information and
- Information FCA receives from consumer reporting agencies, such as customer creditworthiness and credit history

It is the policy of FCA to not disclose any nonpublic information about any customer to any affiliate or nonaffiliated third parties except as permitted by law.

In an effort to maintain the security and confidentiality of customer records, FCA restricts access to customer personal and account information to those employees who need to know that information to provide products or services to customers. Fortis Clearing Americas LLC maintains physical, electronic and procedural safeguards to protect customer personal information. Customer information is kept in secured files and access to those files is limited to authorized personnel. FCA has integrated electronic protection of customer records through means such as encryption. While information is critical to providing quality services, FCA recognizes that one of FCA's most valuable assets is the trust of our customers.

Any changes to FCA's privacy policy will promptly be posted to the FCA website at www.us.fortisclearing.com.