

NOTICE OF PRIVACY POLICY

Information Only – No Response Necessary

At SIG Securities, LLC, protecting your privacy is very important to us. We want you to understand what information we collect and how we use it. We collect and use “nonpublic personal information” in order to provide our customers with a broad range of financial products and services as effectively and conveniently as possible. We treat nonpublic personal information in accordance with our Privacy Policy.

What Information We Collect and From Whom We Collect It

We may collect nonpublic personal information about you from the following sources:

- Information we receive from you on applications or other forms;
- Information about your transactions with us, our affiliates, or others; and
- Information we receive from non-affiliated third parties, including consumer reporting agencies.

“Nonpublic personal information” is nonpublic information about you that we obtain in connection with providing a financial product or service to you.

What Information We Disclose and To Whom We Disclose It

We do not disclose any nonpublic personal information about you to either our “affiliates” or non-affiliates without your express consent, except as permitted by law. We may disclose the nonpublic personal information we collect, as described above, to institutions with which we have joint marketing agreements.

“Our affiliates” are companies with which we share common ownership and which offer life and health insurance and pension and savings products.

We verify our customer’s identity to actively prevent, deter, and detect illegal financial activity. As of October 1, 2003, pursuant to the USA Patriot Act, all customers who open new accounts with us will be required to provide identification verification documents to help establish their identity including your driver’s license or other identifying documents.

Our Security Procedures

We restrict access to your nonpublic personal information and only allow disclosures to persons and companies as permitted by law to assist in providing products or services to you. We maintain physical, electronic, and procedural safeguards to protect your nonpublic personal information.