



**PTI Securities & Futures L.P.**

### ***Important Information Regarding our Privacy Policy and Practices***

The confidentiality of client information is an important concern of PTI Securities & Futures L.P. (PTI). We take precautions to safeguard client personal information at all times, and we will remain vigilant in protecting that information. The provisions of this privacy notice will apply to former clients as well as current clients.

PTI collects personal information about you that is either required or necessary to provide you with financial products or services. We may obtain this information from the following sources:

- ?? Information we receive from you on account applications, forms, and other information that you provide to us, whether in writing, in person, by telephone or by any other means. This information may include your name, address, telephone number, social security number, occupation, assets and income.
- ?? Information about your transactions with us or a non-affiliated third party such as account balances, payment history and account activity.
- ?? Information we receive from a consumer reporting agency, such as your credit bureau reports and other information relating to your creditworthiness.

PTI will only disclose certain information about you, as permitted by law, under the following circumstances:

- ?? Where we believe in good faith that disclosure is required under law to cooperate with regulators or law enforcement authorities.
- ?? To our service providers to help us process your applications or service your accounts. These service providers, in turn, are required to protect the confidentiality and security of any information we give to them and may not reuse it for any other purpose.

PTI restricts access to your personal account(s) and information to those employees who need to know that information to provide products or services to you. We maintain physical, electronic and procedural safeguards that comply with the industry standards to safeguard your nonpublic personal information. Third parties who have access to such personal information must agree to follow appropriate standards of security and confidentiality.