

BAADER HELVEA INC.

Notice of Privacy

This privacy notice complies with the Gramm-Leach-Bliley Act and federal regulations governing the privacy of financial information applicable to our clients.

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We are committed to providing our clients with quality service. While collecting information about you is essential to meet your needs, we recognize the importance of handling your personal information with care. Accordingly, we have established this Notice of Privacy and related policies.

Confidentiality and Security of Your Information

We maintain appropriate physical, electronic, and procedural safeguards to protect the security and confidentiality of your nonpublic personal information. We educate our employees about the terms of this Notice and the importance of customer privacy. We restrict access to nonpublic personal information about you to those employees and others who need to know that information to provide services to you, to maintain your accounts, or conduct our business.

Information We Collect About You

Collecting information from you is essential to our ability to offer quality services. As part of that process, we may collect nonpublic information about you from the following sources:

- Information we receive from you on applications and other forms;
- Information about your transactions with us;
- Based upon the services provided, information we receive from consumer reporting agencies, government agencies and from your agent banks and prime brokers where applicable; and
- Information that is used to facilitate emails from you.

Categories of Information We Disclose and to Whom

We do not disclose any information about our clients or former clients to anyone, except as permitted or required by law. We may disclose the types of information listed below to companies that help us conduct our business, that perform administrative or others services on our behalf, or other financial institutions with which we now or may have joint marketing agreements:

- Information we receive from you on applications and other forms, such as your name, address, Social Security number (if an individual), assets, income and beneficiaries;
- Information about your transactions with us, or others; and
- Information we receive from a consumer reporting agency, government agencies and from your agent banks and prime brokers where applicable, and from other sources, such as information concerning credit worthiness and history, and certain information requested pursuant to US Patriot Act anti-money laundering prevention rules and regulations.