

# FACTS

## WHAT DOES TRADEKING DO WITH YOUR PERSONAL INFORMATION?

### Why?

Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.

### What?

The types of personal information we collect and share depend on the product or service you have with us. This information can include:

- Social Security number and income
- Account balances and transaction history
- Email addresses
- Credit history and credit scores

When you are *no longer* our customer, we continue to share your information as described in this notice.

### How?

All financial companies need to share customers' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' personal information; the reasons TradeKing chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does TradeKing share?	Can you limit this sharing?
<b>For our everyday business purposes—</b> such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
<b>For our marketing purposes—</b> to offer our products and services to you	Yes	No
<b>For joint marketing with other financial companies</b>	No	We don't share
<b>For our affiliates' everyday business purposes—</b> information about your transactions and experiences	Yes	No
<b>For our affiliates' everyday business purposes—</b> information about your creditworthiness	Yes	Yes
<b>For our affiliates to market to you</b>	Yes	Yes
<b>For nonaffiliates to market to you</b>	No*	We don't share*

### To limit our sharing

- Email us at: [unsubscribe@tradeking.com](mailto:unsubscribe@tradeking.com)
- Call us at: 877-495-5464

#### Please note:

If you are a *new* customer, we can begin sharing your information 30 days from the date we sent this notice. When you are *no longer* our customer, we continue to share your information as described in this notice.

However, you can contact us at any time to limit our sharing.

\*Personal information may be shared with non-affiliates at the customer's request.

### Questions?

E-mail [service@tradeking.com](mailto:service@tradeking.com)

<b>Who we are</b>	
<b>Who is providing this notice?</b>	This form is being provided by TradeKing Group, Inc. (“TradeKing”) and its affiliates (see a list of affiliates below).
<b>What we do</b>	
<b>How does TradeKing protect my personal information?</b>	<p>To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.</p> <p>When you access our Account holder areas, you are required to provide your user name and your password. Do not share your password and change it frequently.</p>
<b>How does TradeKing collect my personal information?</b>	<p>We collect your personal information, for example, when you</p> <ul style="list-style-type: none"> <li>■ open an account</li> <li>■ provide account information</li> <li>■ direct us to sell securities</li> <li>■ direct us to buy securities</li> <li>■ order a commodity futures or option trade</li> </ul> <p>We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.</p>
<b>Why can't I limit all sharing?</b>	<p>Federal law gives you the right to limit only</p> <ul style="list-style-type: none"> <li>■ sharing for affiliates' everyday business purposes—information about your creditworthiness</li> <li>■ affiliates from using your information to market to you</li> <li>■ sharing for nonaffiliates to market to you</li> </ul> <p>State laws and individual companies may give you additional rights to limit sharing.</p>
<b>What happens when I limit sharing for an account I hold jointly with someone else?</b>	Your choices will apply to everyone listed on your account.
<b>Definitions</b>	
<b>Affiliates</b>	<p>Companies related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"> <li>■ Our affiliates include TradeKing Securities, LLC (the securities broker/dealer), TradeKing Forex, LLC, TradeKing Advisors Inc., TradeKing Media LLC, Manhattan Beach Trading Financial Services, LLC, MB Trading Futures, LLC, and WGAL, LLC (D/B/A Wizetrade)</li> </ul>
<b>Nonaffiliates</b>	<p>Companies not related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"> <li>■ TradeKing does not share with nonaffiliates so they can market to you.</li> </ul>
<b>Joint marketing</b>	<p>A formal agreement between nonaffiliated financial companies that together market financial products or services to you.</p> <ul style="list-style-type: none"> <li>■ TradeKing doesn't jointly market.</li> </ul>

**INFORMATION  
SECURITY**

**HOW DOES TRADEKING FURTHER PROTECT YOUR PERSONAL  
INFORMATION?**

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TradeKing has security measures in place to protect the loss, misuse and alteration of the information under our control. The secure site area uses SSL (Secure Socket Layer) technology to provide a secure environment for all transactions. We restrict access to information about you to those employees and authorized agents who need to know that information in order to provide products or services to you. We maintain physical, electronic and procedural safeguards to maintain the confidentiality of your information. When you access our account holder areas, you are required to login by providing your username and your password. To preserve privacy and confidentiality, your login information is transmitted in an encrypted format through a multi-factor authentication process. If you circumvent, with or without the cooperation of TradeKing, the multi-factor authentication/log-in process, including but not limited to bypassing the onscreen password keyboard, you agree that you are liable for any and all subsequent security breaches involving your account(s). Do not share your passwords with anyone and change it frequently. Password changes can be made at anytime by logging into your account. Access to your information is granted only to employees and third-party service providers who need it to perform a specific service. Our service providers are contractually obligated to keep information confidential. You are encouraged to read the privacy statements of our service providers.

**CHOICE  
OPT-OUT**

**HOW DO YOU STOP RECEIVING MARKETING OFFERS AND PROMOTIONS  
FROM TRADEKING?**

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Users who no longer wish to receive marketing offers and promotions from TradeKing may opt-out of receiving these communications by sending an email to [unsubscribe@tradeking.com](mailto:unsubscribe@tradeking.com) or by calling us at 877-495-5464. Even if you decide to opt out from receiving offers and promotions from us, you must maintain an email address for us to be able to continue to email you trade and account information and follow US regulations.

**LINKS**

**WHAT ARE THE PRIVACY POLICIES OF THIRD-PARTY WEBSITES?**

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The TradeKing website contains links to other websites. We are not responsible for the privacy practices of other websites. Please read the privacy statements of every website that collects personal information.

**COOKIES**

**WHAT ARE COOKIES AND HOW ARE THEY MANAGED?**

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We may use cookies or other technology to gather information about Site usage to help us improve the content, usability and functionality of TradeKing's site, and to remember certain user attributes. This helps us better tailor TradeKing for users and better understand how many new and repeat users visit TradeKing, which features or pages are most popular, and user browsing and usage patterns. Additionally, TradeKing uses cookies or other technology to help us authenticate you, store and recognize your configuration and user attributes, facilitate your navigation and entitlements throughout TradeKing and customize its content so that the information made available is more likely to be of interest to you. You can set your Web browser to prompt you before you accept a cookie, to accept cookies automatically, or to reject all cookies. However, if you choose not to accept cookies from TradeKing, then you may not be able to access and use all or part of this Site or benefit from the information and services which it offers. We also use cookies, and we may employ additional software, to help us track a visitor's progress in order that we can improve our website and your experience.

**POLICY  
CHANGES**

**HOW DOES TRADEKING COMMUNICATE CHANGES TO THESE POLICIES?**

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The effective date of this Privacy Policy is provided below. Any updates or changes to the policy will be posted on this web site. Consumers who are TradeKing customers will be notified of updates and changes in accordance with federal law. For more information or other questions regarding our Privacy Policy, please e-mail [service@tradeking.com](mailto:service@tradeking.com).