



## FACTS

### WHAT DOES Firstrade Securities, Inc. 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 employment & financial information
- Account Balance and payment history
- Credit & Margin history and account transaction history

#### 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 Firstrade chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does Firstrade 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 do not 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	No	No
<b>For our affiliates to market to you</b>	Yes	Yes
<b>For nonaffiliates to market to you</b>	No	We do not share

#### To limit our sharing

Call 800-869-8800 — our menu will prompt you through your choice(s)  
Visit us online: [service@firstrade.com](mailto:service@firstrade.com)

#### Questions?

Call 800-869-8800 or go to [service@firstrade.com](mailto:service@firstrade.com)

You can also visit us online at:  
<https://www.firstrade.com/content/en-us/aboutus/privacypolicy>

## Who we are

### Who is providing this notice?

Firstrade Securities Inc., Firstrade Holding Corporation, Firstrade Advisor, LLC.

## What we do

### How does Firstrade protect my personal information?

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.

Please visit <https://www.firstrade.com/content/en-us/aboutus/privacypolicy> for additional information on how we maintain physical, electronic, and procedural safeguards to guard your personal information.

### How does Firstrade collect my personal information?

We collect your personal information, for example, when you

- open an account or make deposit / withdrawals from your account
- instruct us to buy securities or sell your securities
- tell us about your trading activity or investment objective

In some cases we will collect information from consumer-reporting agencies.

### Why can't I limit all sharing?

Federal law gives you the right to limit only

- sharing for affiliates' everyday business purposes—information about your creditworthiness
- affiliates from using your information to market to you
- sharing for nonaffiliates to market to you

State laws and individual companies may give you additional rights to limit sharing.

### What happens when I limit sharing for an account I hold jointly with someone else?

Your choices will apply to everyone on the account.

## Definitions

### Affiliates

Companies related by common ownership or control. They can be financial and non-financial companies.

- Firstrade Holding Corporation
- Firstrade Advisor, LLC

### Nonaffiliates

Companies not related by common ownership or control. They can be financial and nonfinancial companies.

- Firstrade does not share with nonaffiliates so they can market to you.

### Joint marketing

A formal agreement between nonaffiliated financial companies that together market financial products or services to you.

- Firstrade doesn't jointly market

## Other important information

### For California Residents

In accordance with California law, we will not share information we collect about you with nonaffiliates, except as allowed by law. For example, we may share information with your consent or to service your accounts. Among our affiliates, we will limit information sharing to the extent required by California law.

### Vermont Residents

We will not share information we collect about you with non-affiliated third parties, except as permitted by law, such as to process your transactions or to maintain your account. In addition, we will not share your credit worthiness information with our affiliates. We may share your information with our affiliates so they may market to you. To limit this type of information sharing, please call 800-204-2197.

### North Dakota Residents

We will not share information we collect about you with non-affiliated third parties, except as permitted by law, such as to process your transactions or to maintain your account.

### For Nevada residents

We are providing you this notice pursuant to state law. You may be placed on our internal Do Not Call List by calling 800-326-7141. Nevada law requires that we also provide you with the following contact information:

Bureau of Consumer Protection  
Office of the Nevada Attorney General, 555 E. Washington St., Suite 3900, Las Vegas, NV 89101;  
Phone number: 7024863132; Email: BCPINFO@ag.state.nv.us