



TRIAD

SECURITIES CORP.

Privacy Policy

It is the policy of Triad Securities Corp. not to provide non-public personal information to affiliated or non-affiliated third parties except as described in this policy. Additionally, it is the policy of Triad Securities Corp. to maintain procedural and physical safeguards on the gathering and retention (pursuant to SEC Rules 17a-3 and 17a-4) of “non-public personal information” defined as “personally identifiable financial information” which information is obtained from you in Triad’s New Account Form (whether written or electronic), in other forms or materials you may provide to us, or in the financial services that you request from us. This information may include your name, address, telephone number, social security number or tax identification number, identification documents, account number, account balances, credit history, transaction information, and financial information about you.

Triad may share personal information about our current and former customers with affiliated and non-affiliated companies and service providers, including clearing firms. We may share the information for everyday business purposes, including to process your transactions, or to assist us in providing services. We do not sell your information or provide it to non-affiliated parties for general marketing purposes. We may also disclose personal information about current or former customers or prospective customers in order to cooperate with legal or regulatory authorities or pursuant to a court order, subpoena or regulatory request. In addition, we may disclose this personal information as necessary to perform credit checks, collect debts, enforce our legal rights or otherwise protect our interests and property.

We restrict access to personal information to those Triad personnel which require it to enable us to provide products or services to you. To protect your personal information from unauthorized access and use, we use physical, electronic and procedural security measures that either meet or exceed applicable legal or regulatory requirements.

If you prefer that we do not disclose your nonpublic personal information to unaffiliated third parties, or if you wish us to delete your personal information after your business with us has concluded, you may direct us not to make such disclosures (other than disclosures permitted or required by law or regulation). To direct us not to make disclosures to nonaffiliated third parties, please make a fax request to 212-587-0868 stating: “I do not wish to share personal information with nonaffiliated third parties.” Please include your account number, name and email address.

Triad Securities Corp. reserves the right to make changes to our privacy policy. You will be notified through the Triad website (www.com) or by other appropriate means of any such changes. If you have questions relating to this policy, please contact your Triad representative at 212-349-9078.