



TRIAD
SECURITIES CORP.

PRIVACY POLICY STATEMENT

Title V of the Gramm-Leach-Bliley Act of 1999 (“GLBA”) which repealed Section 20 of the Banking Act of 1933, commonly known as the Glass-Steagall Act, requires financial institutions, i.e. broker-dealers, to develop privacy policies with regard to consumer non-public information. In response thereto, the Securities and Exchange Commission (“SEC”) promulgated Regulation S-P.

Pursuant thereto, *Triad Securities Corp.* must furnish consumers who become customers of the firm and existing customers with an initial privacy notice and an annual privacy notice thereafter. The rule defines a customer as a consumer who has or expects to have a continuing relationship with the firm.

It is the policy of *Triad Securities Corp.* not to provide non-public personal information to affiliated and non-affiliated third parties except as permitted by law. 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 the New Account Form.

Triad Securities Corp. reserves the right to make changes to this policy.

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