



**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Title V of the Gramm-Leach-Bliley Act of 1999 (“GLBA”) which repealed Section 20 of the Banking Act of 1933, commonly known as the Glass-Steagall Act, requires financial institutions, i.e. broker-dealers, to develop privacy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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**MEMBER FINRA SIPC**