

Last Updated: November 2021

RQD* Clearing (“RQD”) takes your privacy seriously and understands the importance of privacy to customers of our introducing firms. RQD considers the information our clients provide and entrust to us to be of the utmost importance. RQD respects the privacy of all accounts that we maintain as a clearing firm and protects the non-public personal information relating to those accounts.

The Information RQD* Collects from You

In order to provide brokerage services and maintain compliance with securities regulations, RQD may collect certain personal, non-public information from you, which is obtained from the following sources:

- Information RQD receives from you on applications or other forms, including name, address, telephone number, social security number, occupation and income;
- Information about your brokerage account and trading within your brokerage account, including balances, positions, and activity;
- Information related to your creditworthiness;
- Information received from consumer reporting agencies, such as credit bureaus; and
- Information from other sources with the consent of you or your introducing firm.

How RQD* Uses Your Information

RQD will not share your non-public, personal information with third parties, unless it is required for servicing your account or permitted by law. For example, RQD uses this personal, non-public information to service your account, which includes using the services available through the RQD system(s). RQD may also make use of your personal information for regulatory purposes such as obligations under the USA PATRIOT Act, or for analysis purposes, including detecting patterns or determining your preferences.

The information may also be necessary to execute and confirm your transactions. In doing so, we may share such information with our employees

and agents. RQD restricts access of your personal, non-public information to those employees who need to know that information to provide products and/or services to you. RQD maintains physical, electronic, and procedural safeguards to guard your personal, non-public information. For example, RQD does not sell or license information about its customers to third parties, nor do we sell our customer e-mail addresses to third party marketers.

How RQD* Protects Your Information

RQD is committed to maintaining your trust. We employ both procedural, physical and technological protections in order to safeguard your data. For example,

- RQD maintains strict employment policies that prohibit employees who have access to non-public information from using or disclosing such information except for business purposes.
- Only authorized RQD personnel can access the RQD system. The Firm also employs firewalls, encryption technology, user authentication systems, and access control mechanisms to control access to its systems and data.
- RQD does not disclose personal, non-public information to any parties that are not affiliated with RQD, except as required for servicing your account or permitted by law. RQD will only disclose or report such information where necessary to authorize, effect, administer, or enforce transactions as necessary to maintain your account.

Access to Your Information

You can access your information via the Internet or other media offered by your introducing broker. If you have information regarding the access to your information please contact your introducing broker.

Changes to RQD's Privacy Policy

RQD reserves the right to modify this policy.