



*Client Focused Trading*

## **Notice of CFT Securities, LLC Privacy Policy**

**Our Commitment to Your Privacy:** CFT Securities, LLC has a policy of protecting the confidentiality and security of information we collect about our customers. We will not share nonpublic personal information about you ("Information") with third parties, except for the specific purposes described below. This notice describes the Information we may gather and the circumstances under which we may share it.

**Why We Collect and How We Use Information:** We collect and use Information to deliver superior service to our client relationships. By sharing Information among the members of CFT Securities, LLC, we are able to draw upon the full range of expertise and resources within our organization to collaborate and customize the services we are able to provide to you.

**Information We Gather:** We get most Information directly from you or your personal representatives during the process of establishing and maintaining our relationship with you. Among the information we may collect from you includes:

- \* Your name, address and other contact information including e-mail, and phone contact information
- \* Your age including date of birth, and marital status
- \* Spousal and dependent information (where applicable)
- \* Financial information including source of wealth, investment experience, risk tolerance levels, income, net worth, and investment objective(s)
- \* A photocopy of your passport, national security identification card or driver's license as required by laws and regulations relating to money laundering and related matters
- \* Your employer, employer address, occupation, and role or title

Failure to supply us with any, or all of the personal information that we request may result in our inability to open or maintain your account or to provide any additional services to you. To better service you, we shall make every attempt to ensure that your information remains current and accurate. We ask that you notify us in a timely manner should there be any changes to information that maybe have been previously supplied to us.

We may verify this Information or get additional Information from consumer reporting agencies or public sources. This Information may relate to your finances, employment, avocations or other personal characteristics, as well as transactions and interactions with us or others. We also have Information relating to your transactions with CFT Securities, LLC.

**How We Protect Information:** We expect our employees to protect the confidentiality of Information and to comply with our established policies. Employees are authorized to access Information only when there is an appropriate reason to do so, such as to administer our products or services. We also maintain physical, electronic and procedural safeguards to protect Information which comply with all applicable laws. Employees who violate our company policies may be subject to disciplinary action.

*CFT Securities does not, and will not sell your personal information for any reasons.*

**Disclosure of Information:** We disclose Information in connection with providing services to our clients. We may disclose Information to third party service providers: (i) to enable them to provide business services for us, such as performing administrative, clearing, transactional, custodial or other services for us in connection with the administration of your accounts; (ii) to assist us in offering products and services to you, or (iii) for credit review purposes. We may exchange Information with your representatives, such as your accountants, attorneys or other financial advisors who are involved in our delivery of services to you. Information also may be disclosed as permitted, or required by law. This may include disclosure for audit or research purposes, to attorneys or other professionals, or to law enforcement and regulatory agencies.

**To Whom This Policy Applies:** This Privacy Policy applies to products or services provided by CFT Securities, LLC to individuals who are customers and use our products or services primarily for personal, family or household purposes.

**Former Customers:** Even if you are no longer a customer, we will continue to protect the confidentiality of your Information and our Privacy Policy will continue to apply to your Information.

**Further Information:** We reserve the right to change this Privacy Policy. The examples contained within this Privacy Policy are illustrations and they are not intended to be exclusive. This notice complies with Federal Laws and SEC regulations regarding privacy.

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