

PRIVACY AND SECURITY POLICY STATEMENT

Congress has passed major changes to modernize the laws that govern the financial services industry, including those designed to safeguard individual privacy. At Whitaker, protecting our clients' privacy is paramount. We recognize that an individual's financial matters are extremely private and sensitive in nature. These new laws and regulations, combined with our long-standing firm policies, enable us to protect your privacy and, at the same time, provide you with a broad range of high quality accounts and services.

Collection of Non-Public Information

We collect only the information that is required to provide you with the highest quality professional services as well as what we are required to know by law and regulation. We maintain strict security procedures to protect the information that we are privy to; however, during the normal course of business, we collect nonpublic, personal information about you from the following sources: information we receive from you on applications, e-mails, or other forms; information about your transactions with us or affiliates, or others; and information we receive from consumer reporting agencies as needed.

Employee access to customer information is restricted to those who have a legitimate need to know in order to provide you with our professional services, or as required by law and regulation. We maintain both physical and electronic safeguards in accordance with federal law and regulatory standards. Any employee who has access to individual information is trained and required to follow company procedures designed specifically to keep that information confidential. These procedures are also designed to ensure that your financial information is accurate, current and complete. Please notify us if it ever appears that our records contain incomplete or inaccurate information about you. We will promptly investigate your concerns and make any necessary corrections.

Use of Non-Public Information

We provide information to outside vendors only to the extent necessary to complete your financial transactions, keep you fully informed as to these transactions and maintain our professional relationship with you. Any information that we must provide these outside vendors is restricted as to content and recipient. Any organization that receives such information must provide us with a copy of its Privacy Policy, and each policy will be reviewed to ensure that it is sufficient to meet Whitaker client information privacy standards. Under no circumstances whatsoever will Whitaker's sell information about you or your business to any vendor, public or private. We believe that it is important to have the ability to share this information, but only if and when necessary. This type of information sharing about your accounts enables us to serve you more efficiently, and also makes it easier and more efficient for you to do business with us. If you have any questions concerning the information on file about you, please notify the Compliance Department.

Protecting your privacy is an ongoing process. As technology continues to advance, Whitaker will continue to evaluate its security standards and procedures in order to protect your information with the best available means. Nothing is more important to us than our clients' trust and confidence, and we will do whatever it takes to maintain the security of our professional relationships. If our relationship ends, we will continue to treat the information as described in this Privacy Notice.

Correcting and Updating Your Information

The accuracy of your personal information is important to us and we will facilitate our ability to provide you with the excellent service that you expect and deserve. We endeavor to keep personal information only for so long as necessary for business purposes or to meet legal and regulatory requirements; and to keep our records of your personal information current and complete. Whitaker will from time to time forward requests for accuracy updates of your personal information

If you have any question regarding this notice and our privacy-related practices or would like to "opt out" of sharing information please contact us at (212) 774-6200. You can also contact us by mail at:

Attention: Compliance Department
233 Broadway, 17th Floor
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Email: info@whitakersecurities.com