

Privacy Statement

Customer Privacy Notice

Protecting your privacy is important to Swedbank Securities US, LLC and our employees. We believe the confidentiality and protection of customer information is one of our most fundamental responsibilities. Whether you are an existing customer or are considering a relationship with us, you have an interest in how we collect, use, retain and secure nonpublic personal information. And while information is critical to providing quality services, we recognize that one of our most important assets is our customers' trust.

The Information We Collect

Swedbank Securities US, LLC may collect nonpublic personal information about you from the following sources:

1. Information you provide to us on account opening documentation, applications, subscriptions or other forms;
2. Transactions with us, our affiliates, or others;
3. From non-affiliated third parties (e.g., credit reporting agencies and others).

Categories of Information that We May Disclose

We may disclose the following kinds of nonpublic personal information about you:

1. Information we receive on applications or other forms, such as name, address, social security number and e-mail address;
2. Information about your transactions with us, our affiliates, or other;
3. Information we receive from a consumer reporting agency, such as creditworthiness and credit history.

Parties to Whom We May Disclose Information

We do not disclose non-public personal information to any non-affiliated third party, except to non-affiliated third parties that may assist us in servicing your account (e.g., a clearing agent), to securities and banking regulators upon requests, to others pursuant to subpoena and otherwise as permitted by law.

If you decide to close your account (s) or become an inactive customer, we will continue to adhere to the privacy and practices described in this notice, or subsequent notices, which may amend the policy stated herein.

Nothing in this customer privacy notice is intended to interfere with our ability to transfer all or part of our business and/or assets to an affiliate or non-affiliated third party at any time, for any purpose, without any limitation whatsoever.

Confidentiality and Security Procedures

Swedbank Securities US, LLC takes steps to safeguard customer information and restrict access to your personal and account information to those employees who need to know that information in order for us to provide products or services to you. We emphasize the importance of confidentiality through employee training, operating procedures, written policies and this privacy policy. We maintain physical, electronic, and procedural safeguards to guard your nonpublic personal information.

Key Terms to Privacy

"Nonpublic Personal Information" - Personally identifiable financial information that is provided by a customer or potential customer to a financial institution that results from a transaction with the customer or that is otherwise obtained by the financial institution in connection with providing a financial product or service.