

2022 PRIVACY POLICY

FACTS

WHAT DOES WHITAKER SECURITIES LLC DO WITH YOUR PERSONAL INFORMATION?

Why?

Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.

What?

The types of personal information we collect and share depend on the product or service you have with us. This information can include:

- Social Security number
- Financial Information
- Date of birth
- Name, address, telephone number
- Information to confirm your identity
- Information about your job

When you are *no longer* our customer, we continue to share your information as described in this notice.

How?

All financial companies need to share their customer's personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers personal information, the reasons Whitaker Securities chooses to share; and whether you can limit this sharing

Reasons we can share your personal information	Does Whitaker Securities share?	Can you limit this sharing?
For our everyday business purposes - such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	YES	NO
For our marketing purposes – to offer our products and services to you	YES	NO
For joint marketing with other financial companies	NO	N/A
For our affiliates' everyday business purposes – Information about your transactions and experiences	NO	N/A
For our affiliates' everyday business purposes – Information about your credit worthiness	NO	N/A
For our affiliates to market to you	NO	N/A
For our non-affiliates to market to you	NO	N/A

Who we are

Who is providing this notice?

Whitaker Securities LLC

What we do

How does Whitaker Securities LLC protect my information?

To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings. In addition, we have policies and procedures that direct our employees and agents to protect your personal information. We do not share your personal information except as authorized by you or allowed by law.

How does Whitaker Securities LLC collect my personal information?	We collect your personal information when you open an account or update account information. We may collect your personal information from you or anyone you have authorized to provide us with information.
Why can't I limit all sharing?	<p>Federal law gives you the right to limit only</p> <ul style="list-style-type: none"> • sharing for affiliates' everyday business purposes – information about your credit worthiness. • affiliates from using your information to market to you • sharing for non-affiliates to market to you <p>State laws and individual companies may give you additional rights to limit sharing</p>
Definitions	
Affiliates	Companies related by common ownership or control. They can be financial and non-financial companies.
Non-Affiliates	Companies not related by common ownership or control. They can be financial and non-financial companies.
Joint marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you.
Questions?	<p>You may contact us in writing at:</p> <p>Whitaker Securities LLC Attention: Compliance Department 200 Craig Road, Suite 105 Manalapan, NJ 07726</p> <p>Phone: 212-774-6200 Fax: 732-414-6048 Email info@whitakersecurities.com</p>
Other Important Information	
<p>It is our objective to not only serve, but to protect our customer's identity and privacy. In order to verify the identity of our customers, and to protect them from identity thieves, we will request a legible copy of personal government-issued photo identification for all authorized signatories on the account. Institutional customers will be asked for information and documentation regarding their business entity.</p>	