



Privacy Notice

WHAT VISION DOES WITH YOUR PERSONAL INFORMATION

Vision has always been committed to maintaining the confidentiality, integrity and security of personal information about our current and prospective customers. We want you to understand how we collect and share that information. We understand that privacy is an important issue for you, and we also want you to understand how we protect your privacy when we collect personal information about you.

HOW WE OBTAIN PERSONAL INFORMATION

In providing you with financial products and services, or information about such products and services, Vision may collect public and non-public personal information about you from the following sources:

- your account agreements and other related documents and forms (for example, name, address, social security number, birth date and financial information)
- transactions with Vision (for example, trading with us, history of meeting margin calls, and your use of various products and services that we provide)
- outside entities, including credit reporting agencies, to obtain information (such as verification of identity, credit-worthiness, credit history, purchasing and investment preferences).

HOW WE PROTECT YOUR PERSONAL INFORMATION

It is our policy not to release your personal information except as permitted by law, with your consent, as requested by you or set forth below. Within Vision, we restrict access to your personal information to those who require it to provide products or services to you.

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.

REASONS WE CAN SHARE YOUR PERSONAL INFORMATION

Within Vision, we may share personal information about you for several reasons, including:

- for our everyday business purposes, including to process your transactions and maintain your account
- to assist us in providing services
- to help design and improve products
- for marketing purposes to offer products and services that may be of interest to you.

In the course of doing business we may share information with third parties, which could include personal information about you. Personal information may be shared with others for the following reasons:

- in response to a subpoena
- to prevent fraud
- to comply with inquiries from government agencies or other regulators
- for other legal purposes.

We also may share your personal information with:

- others that service your accounts, or that perform services on our behalf
- others with whom we may have joint marketing agreements, such as financial services companies
- non-affiliated financial services providers, such as clearing firms, introducing brokers, broker/dealers,



futures commission merchants, investment companies, investment advisers, commodity trading advisers and commodity pool operators

- non-affiliates to market to you including publishers and other direct marketers of products related to the financial services industry, such as newsletter or book publishers and software or trading system developers
- other non-affiliated third parties with your consent, at your request or as permitted or required by law.

OPT OUT NOTICE

If you prefer that Vision not disclose non-public personal information about you to non-affiliated third parties, you may opt out of those disclosures. That is, you may direct Vision not to make those disclosures, other than disclosures permitted or required by law. Any customer who decides to opt out of these disclosures to non-affiliated third parties must notify us by sending an e-mail to optout@visionfinancialmarkets.com.

Vision regularly provides notices to our customers regarding our privacy policy. Vision reserves the right to change this policy, and to apply changes to information previously collected, as permitted by law. If there is any change to this policy, Vision will provide our customers with a revised privacy notice. To obtain further information, please call our Client Services Team at 1.877.836.3949.

When this Notice refers to Vision, it is referring to Vision Financial Markets LLC and its affiliates Vision Brokerage Services, LLC and Vision Investment Advisors, LLC.