



## Privacy and Security Policy

### 隐私及保密声明

FIRSTRade is committed to protecting our clients' personal and financial information. In the course of providing you with FIRSTRade's brokerage services, we need to collect and maintain certain nonpublic Personal Identifiable Information about you. Firstrade respects our clients' privacy concern and adhere to a strict confidentiality policy to protect your information. This Privacy and Security Policy describes what nonpublic Personal Identifiable Information we collect, what we do with it, and how we protect it.

#### ***What types of nonpublic Personal Identifiable Information about me does FIRSTRade collect?***

When you apply for or maintain an account with FIRSTRade, we collect Personal Identifiable Information including the following types of information:

- Information provided by you, such as your name, address, telephone numbers, Social Security number/Tax Identification number, date of birth, employment information, financial data, and any other personal information connected to identifying you.
- Transaction history with us such as account balance and trading activity will be reviewed periodically.
- In some cases, we may collect information from consumer-reporting agencies.

#### ***What types of nonpublic Personal Identifiable Information about me does FIRSTRade disclose?***

FIRSTRade discloses nonpublic Personal Identifiable Information about you described above, primarily to provide you with the financial services you seek from us. We do not sell your personal information. We do not disclose nonpublic personal information about present or former clients, except as required or permitted by law.

#### ***What are my rights to opt-out of disclosure and how can I exercise them?***

If you prefer that we do not disclose nonpublic personal information about you to the non-financial services companies described in the paragraph above, you may opt-out of those disclosures, that is, you may direct us not to make those disclosures (other than those disclosures required by law).

You may provide your name, address, email address, daytime phone, your account number and opt-out request to us by email at [service@firstrade.com](mailto:service@firstrade.com) or by calling 1-800-869-8800.

#### ***To what other types of entities might FIRSTRade disclose my nonpublic personal information?***

FIRSTRade may disclose information we collect from you, such as your contact information, to service providers who perform marketing functions on our behalf. Specifically, your name, address and/or email address are sometimes provided to vendors who send email or regular mail on FIRSTRade's behalf.

We disclose information to nonaffiliated companies that work for us in providing financial services to you. For example, we provide information to nonaffiliated companies that prepare and mail statements and transaction confirmations. These companies acting on our behalf are required to keep your personal

information confidential.

Finally, FIRSTRADE discloses nonpublic personal information to nonaffiliated third parties as permitted or required by law. These parties include government/regulatory organizations such as the Internal Revenue Service (IRS) and the Securities and Exchange Commission (SEC). Disclosures for which you have provided your consent are also permitted.

***How does FIRSTRADE use your Personal Identifiable Information?***

We use your information to fulfill your requests for specific products and services like opening a brokerage account with us. We use your information to contact you regarding special offers, products and services that may be of your interest and also provide you with the best customer service experience at Firstrade.

Firstrade Securities, Inc. uses third parties to gather End User's data from financial institutions. By using our service, you grant our third-party provider the right, power and authority to act on your behalf to access and transmit your personal and financial information from the relevant financial institution according to terms of our third-party provider's privacy policy.

***How does FIRSTRADE protect the confidentiality and security of my nonpublic Personal Identifiable Information?***

We maintain physical, electronic, and procedural safeguards that comply with federal standards to guard your nonpublic personal information. We protect your account information by placing it on the secure portion of our website. Our servers have been enabled with Secure Sockets Layer (SSL) technology to prevent unauthorized parties from viewing your nonpublic personal information that you provide or access during a secure session. In addition, we employ Entrust's digital certificate services to encrypt the information exchanged between you and Firstrade web servers.

Access to your nonpublic personal information is limited to those employees who have valid business reason to access your information. These employees such as customer service personnel access as needed to provide you with the best customer service experience. All Firstrade employees are trained on the importance of protecting our client's information and maintaining the confidentiality and security of your Personal Identifiable Information.

You can take steps to maximize your security online and to protect your confidential information. NEVER share your Password with anyone, and change it periodically. You can change your Login Password at any time in the My Settings section under the My Account tab. When accessing the FIRSTRADE website, you should always exit by using the "Logout" button or close your browser completely.

***What should I know about "cookies"?***

"Cookies" are elements of data that a website can send to your browser and store on your computer. Cookies can note that your browser was used to visit certain sites, pages, or advertisements on a certain date. Cookies cannot be used to obtain data from your hard drive, get your e-mail address or steal sensitive or personal information about you. FIRSTRADE uses cookies to enhance navigation and functionality of our website, to securely verify your identity, and to personalize aspects of your experience on our website. We also use cookies to let us know how visitors are using our website, so that we can improve our website and your experience on it. You do have control over cookies. Most browsers can be set to notify you when a cookie is being placed on your computer. You can also set most browsers to refuse to accept cookies, although this may affect your Internet experience. You can

also erase cookies that are already on your computer. For more information on working with cookies, you should consult the User Manual, FAQ, or Help function of your specific browser and operating system software.

For answers to other questions regarding FIRSTRADE's Privacy Policy, please email [service@firsttrade.com](mailto:service@firsttrade.com) or call 1-800-869-8800.

## 隐私及保密声明

第一证券全心致力于保护您的个人资料和财务信息。然而，在提供证券交易相关服务前，我们必须先行收集和保存某些和您有关的非公开个人资料。从以下所述的第一证券的隐私权政策中，您将得知我们所收集和保存的客户个人资料有哪些，以及我们如何处理和保护这些资料。

### 第一证券所收集的与您有关的非公开个人资料有哪些？

当您申请或维持第一证券账户时，我们收集的个人资料包括以下几类：

- 您提供的个人资料，如您的姓名，地址，电话号码，社会安全号码/纳税识别号码，出生日期，就业资料，财务数据，以及与您有关的任何其他个人资料。
- 账户的交易资料，如定期审查您的账户余额和交易活动。
- 在某些情况下，我们可能会向信用调查公司或消费者报告机构调阅您的信息。

### 第一证券可公开的与您有关的非公开个人资料有哪些？

第一证券公开关于您个人的身份信息仅限于如上所述由您提供的部份，主要用于向您提供您所寻求的财经服务。除非法律要求或许可，我们不会透露第一证券开户的客户资料，也绝不会出售您的个人资料。

### 我有什么样的权利选择不披露，我该如何行使这些权利？

如果您不希望我们向上述非金融服务公司披露您的非公开个人信息，您可以选择退出这些披露，也就是说，您可以指示我们不要披露这些信息（除了法律要求的那些披露）。您可以通过电子邮件 [service@firsttrade.com](mailto:service@firsttrade.com) 或致电 1-800-869-8800 向我们提供您的姓名，地址，电子邮件地址，日间电话，您的帐号和退出请求。

### 第一证券可以向其他类型的实体披露我的非公开个人信息？

第一证券可能会将从您那里收集的信息（例如您的联系信息）披露给代表我们执行市场营销职能的服务提供商。具体而言，您的姓名，地址和/或电子邮件地址有时会提供给代表第一证券发送电子邮件或常规邮件的供应商。我们会向我们提供金融服务的非附属公司披露信息。例如，我们向准备和邮寄报表和交易确认书的非关联公司提供信息。这些代表我们行事的公司必须对您的个人

信息保密。最后，根据您同意的披露许可下，第一证券根据法律允许或要求向非附属第三方披露非公开个人信息。这些政党/监管机构包括国内税务局（IRS）和证券交易委员会（SEC）等。

### **第一证券如何使用您的个人身份信息？**

我们使用您的信息来提供您对特定产品和服务的要求，例如开设账户。我们使用您的信息与您联系，并提供您可能感兴趣的特别优惠，产品和服务，并为您提供最佳的客户服务体验。

第一证券使用第三方从金融机构收集用户的数据。根据我们的第三方提供商的隐私政策条款，通过使用我们的服务，您授予我们的第三方提供商权利，权力和授权，代表您从相关金融机构访问和传输您的个人和财务信息。

### **第一证券如何保护您的非公开个人资料？**

我们采取实体的，电子式的以及符合联邦标准的程序性防护措施来保护您的个人资料。您的网上账户资料存放于我们网页的安全保护区内，而我们的网页伺服器系由 **Secure Sockets Layer (SSL)** 的安全技术标准来启动，可防止未经授权的使用者在安全期内检视您所提供的或打算取得的个人资料。此外，我们采用 **Entrust** 公司的数位认证服务来为您和第一证券网站之间互换的资讯进行加密。

只有少数的第一证券工作人员，例如客户服务人员，可以取得您的个人资料以便为您提供相关的产品资讯或服务。第一证券对所有职员进行培训，强调保护我们的客户信息和维护您个人身份信息的保密性和安全性的重要性。

您也可以更进一步的保护您的网路安全和个人资料，例如绝不向任何人透露您的登入密码，并且不定期的更改密码。您可以随时进入您的账户，在“我的账户”标签下，点选“我的设定”，进行密码的更改。此外，每次退出账户时，请务必按“登出”按钮，或完全关闭浏览器。

### **何谓 "cookies" ？**

"Cookies" 是一种未经使用者认可直接由电脑伺服器写入使用者硬碟中的小型文字档案。它可以记录某一段时间内您曾经浏览过的网站、网页或广告。尽管如此，它无法被用来取得您硬碟中的资料，也无法获取您的电子邮件地址或窃取您个人的其他机密资料。第一证券用它来加强我们网站的运作效率和功能，安全地验证使用者身份，以及提供符合您习惯的第一证券网站的使用体验。我们还用它来了解网站的使用情形，以便我们进一步改善网页功能和用户体验。大部份浏览器可以进行 cookie 设置，您可以通过更改设置，使其在每次写入 cookie 时通知您，您也可以拒绝接受 cookie，然而如此可能会影响您的网路使用体验。此外，您还可删除已经存在您硬碟里的 cookie。若您想了解更多有关 cookie 的资讯，请参阅您所使用的浏览器和作业系统软体所提供的使用者手册、热门问题集或协助功能表。

若您有任何其他有关第一证券保护隐私权政策的问题，欢迎发送电子邮件至 [chinese@firsttrade.com](mailto:chinese@firsttrade.com) 或致电 1-888-889-2818。