

TradingBlock Privacy Policy

FACTS

WHAT DOES TRADINGBLOCK DO WITH YOUR PERSONAL INFORMATION?

Why?

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

What?

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

- Name, address, contact details
- Your age, occupation and marital status
- Personal Identifier such as, depending on your country of residence, your Social Security Number, Tax File Number
- A head and shoulders photograph from, as applicable, your passport, national identity card or driver's license, as required by laws and regulations addressing due diligence and related matters
- Extensive financial information such as investment experience, assets, account balances and transaction history

When you are no longer our customer, we continue to share information about you as described in this notice. We however do not sell your information at any time.

How?

TradingBlock shares customer personal information to run its everyday business. In the section below, we list the reasons TradingBlock chooses to share and whether you can limit this sharing.

Reasons we can share your personal information	Does TradingBlock 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 as permitted under law, 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	We don't share
For our affiliates' everyday business purposes— information about your transactions and experiences	Yes	No
For our affiliates' everyday business purposes— information about your creditworthiness	No	We don't share
For our affiliates to market to you	No	We don't share
For non-affiliates to market to you	No	We don't share

To limit our sharing

You may call us at 1-800-494-0451 or you can visit us online and follow the instructions below:
<http://www.tradingblock.com/account/privacypolicy.aspx>

1. **Log into your TradingBlock account.**
2. **Go to Manage | My Profile and click on the Contact Preferences tab.**
3. **Scroll down to the “Communication Preferences” table. Click Edit.**
4. **Under “Subscribed Promotional Emails” click the “Opt out of promotional email” checkbox.**
5. **Click Save Changes button.**

You may also use the **Form** below and submit the request in writing to:

TradingBlock
Attn: Customer Service Dept.
311 South Wacker, Suite 650
Chicago, IL 60606

Please note:

If you are a *new customer*, we can begin sharing your information 30 days from the date we sent this notice. When you are no longer our customer, we continue to share your information as described in this notice. However, you can contact us at any time to limit our sharing.

Questions?

Call 1-800-494-0451 or go to <http://www.tradingblock.com/account/privacypolicy.aspx>

Mail-in Form

Mark any/all you want to limit:

- Do not share information about my creditworthiness with your affiliates for their everyday business purposes.
- Do not allow your affiliates to use my personal information to market to me.
- Do not share my personal information with non-affiliates to market their products and services to me.

Name _____

Address _____

City, State, Zip _____

Account # _____

Mail to:
TradingBlock
Attn: Customer Service Dept.
311 South Wacker, Suite 650
Chicago, IL 60606

Who is providing this notice?	TradingBlock
How does TradingBlock protect my personal 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.
How does TradingBlock collect my personal information?	We collect your personal information, for example, when you <ul style="list-style-type: none"> • Disclose information on applications and other forms that you submit to us • We also collect your personal information from others, such as credit bureaus, affiliates, or other companies
Why can't I limit all sharing?	Federal law gives you the right to limit only <ul style="list-style-type: none"> • sharing for affiliates' everyday business purposes—information about your creditworthiness • 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. [See below for more on your rights under state law.]</p>
What happens when I limit sharing for an account I hold jointly with someone else?	Your choices will apply to everyone on your account.
Definitions	
Affiliates	Our affiliated Companies (both financial and non-financial) related by common ownership or control under Trading Block Holdings, Inc. <ul style="list-style-type: none"> • Currently there are no other affiliated companies. AOS, Inc. does business as TradingBlock and MoneyBlock.
Non-affiliates	Companies not related by common ownership or control. They can be financial and non-financial companies. <ul style="list-style-type: none"> • <i>TradingBlock does NOT share with non-affiliates.</i>
Joint marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. <ul style="list-style-type: none"> • <i>TradingBlock does not jointly market.</i>