

Privacy Policy

U.S. Brokerage, Inc. acts as an introducing broker-dealer with all accounts carried at Southwest Securities. U.S. Brokerage, Inc. does in certain instances utilize various third parties to process and maintain various investment accounts. These third parties include but are not limited to: Mutual Fund Companies, Annuity and/or Life Insurance Companies, Trust Companies and Limited Partnership Organizations. It is our policy to respect the privacy of all accounts that we maintain as an introducing broker and also for any accounts established in conjunction with the aforementioned third party entities. Our policy extends to the security and confidentiality of nonpublic information relating to all client accounts.

Personal Information Collected

In order to service your account as an Investment Dealer, U.S. Brokerage, Inc. collects information from you in order to provide the financial services that you have requested.

The information that we collect may come from the following sources:

- Information received from you, such as your name, address, telephone number, social security number, occupation and income;
- Information relating to your transactions, including account balances, positions, and other activity;
- Information which may be received from consumer reporting agencies, such as credit bureau reports and other information relating to your creditworthiness; and
- Information that may be received from other sources with your consent.

Sharing of Nonpublic Personal Information

U.S. Brokerage, Inc. does not disclose nonpublic information relating to current or former customers to any third parties, except as required or permitted by law and in order to facilitate the processing of customer transactions in the ordinary course of business.

Security

U.S. Brokerage, Inc. strives to ensure that our systems are secure and that they meet industry standards. We protect personal information that is provided by customers by maintaining physical, electronic and procedural safeguards that either meet or exceed applicable law. Where appropriate, we employ firewalls, encryption technology user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms at gateways to systems and data. Third parties who may have access to such personal information must also agree to follow appropriate standards of security and confidentiality.

U.S. Brokerage, Inc. has educated its staff and registered representatives with regard to this privacy policy. As a general policy, our staff or registered representatives will not discuss or disclose information regarding an account except with authorized personnel of our clearing broker and the aforementioned third party entities or as required by law or pursuant to regulatory request and/or authority.

Access to Your Information

You may access your account information through a variety of media offered by U.S. Brokerage, Inc. (i.e. statements or online services). Please contact your registered representative if you require any additional information.

Changes to U.S. Brokerage, Inc.'s Privacy Policy

U.S. Brokerage, Inc. reserves the right to make changes to this policy.

How to Contact U.S. Brokerage, Inc. about this Privacy Policy

For more information relating to this Privacy Policy please contact:

U.S. Brokerage, Inc.
500 S. Front St. Suite 930
Columbus, OH 43215
614.448.3200