

COLONIAL SECURITIES PRIVACY POLICY

We consider our relationship with our clients our most important asset. We understand your concerns about guarding personal information about you and your account. We want to assure you that we have taken steps, and will continue to take steps, to safeguard that information. This Privacy Policy describes how we collect and protect your personal and financial information.

Information We Collect

We collect non-public information about you from the following sources:

- Information gathered from new account application forms, such as your name, address, social security number, assets, income and telephone numbers;
- Information from your account activity, including your account balances, trading activity and payment history;
- Information from consumer credit reporting agencies, such as Experian and Equifax;
- Information from other outside sources verifying the information you supplied on the new account application, such as employment history and bank accounts.

Information We Disclose and To Whom We Disclose

We believe that all our clients value their privacy, so we will not disclose any non-public personal information about our customers or former customers to anyone. Under limited circumstances, we may disclose information, as permitted or required by law to:

- Nonaffiliated companies that work for us necessary in servicing your account. These companies include those who prepare statements of your account and transaction confirmations;
- Governmental and regulatory agencies such as the Securities and Exchange Commission (SEC) and the Internal Revenue Service (IRS). We will make disclosures to comply with a legal summons, court order, subpoena or similar legal process, a fraud investigation, audit or examination.

Confidentiality and Security Procedures

Colonial Securities will internally safeguard your non-public personal information by restricting access to only those employees who provide services to you or those who need access to your information to service your account. In addition, we will maintain physical, electronic and procedural safeguards that meet or exceed federal and/or state standards to guard your non-public personal information.