

PRIVACY POLICY

At Laidlaw & Co (UK) Ltd., (“Laidlaw”) protecting your privacy and safeguarding your personal information is very important to us. Through our network of registered representatives, we distribute a variety of financial products and services to you. We have always valued the trust our customers have placed in us and are committed to the confidentiality and protection of our customers' personal information. For more information please review our privacy policy below.

Information We Collect

Laidlaw collects personal information about you to help us serve your financial needs, process transactions in your account(s), provide customer service, offer new products or services, and fulfill compliance and regulatory requirements.

Laidlaw collects nonpublic, personal information from you as well as from other sources. The sources and the information collected may include:

- Information you provide to us, to our affiliated entities, or to your registered representative on applications and related forms, through discussions with our customer service staff, or on our Web site, such as address, social security number, birth date, net worth, assets, and income.
- Information regarding your transaction history with us, such as products or services purchased, account balances, trading history, and payment history, as well as information from information service companies and consumer reporting agencies, such as your transactions or credit relationships with unaffiliated third parties
- Information from other unaffiliated third parties, including employers, associations, benefit plan sponsors, and other institutions. If you transfer positions or funds to Laidlaw such as address, social security number, net worth, assets, and income

Sharing Information

We may disclose any of the nonpublic, personal information that we collect about you as required to conduct our business and as permitted or required by law. We may share information about our customers with unaffiliated financial or non-financial services providers, such as mutual fund companies, investment firms, third-party administrators, clearing firms, and other third parties who assist in providing account maintenance or customer service to your account(s).

We also may share your information with regulators and law enforcement organizations, or in response to a subpoena or discovery request, as permitted or required by law.

We do not sell, share, or disclose your nonpublic, personal information to unaffiliated third-party marketing companies. . All companies with whom we do business are contractually obligated to comply with strict standards regarding security and confidentiality, and the information can be used only for the sole purpose of providing the service we have requested the company to perform.

Examples of the types of outside companies with which we may share information include non-financial companies that perform services for us such as data processing and companies that perform securities execution and clearing services on our behalf.

Safeguarding Privacy

Laidlaw recognizes the need to prevent unauthorized access to the information we collect, including information held in electronic format. Laidlaw authorizes access to your nonpublic, personal information only to personnel who need that information to serve you. We maintain physical, electronic, and procedural safeguards regarding your nonpublic, personal information to ensure that we comply with our own policy, industry practices, and federal and state regulations. If you decide to close your account(s), or become an inactive customer, we will adhere to the privacy policies and practices as described in this notice.

Verifying and Ensuring the Accuracy of your Personal Information

Always review all documents that Laidlaw sends you to ensure that your personal information is correct. If you ever discover an error in your personal information, please contact your representative immediately to correct the error. If we agree, we will correct our records. If we do not agree, you may submit a short statement of dispute, which we will include in future disclosures of the disputed Information. Information collected in connection with, or in anticipation of, any claim or legal proceeding will not be made available.

Opting-out

If you live in any other state (*i.e.*, an "opt-out" state) and do not want your representative to take your information with him or her; should your representative decide to leave Laidlaw in the future, you have the right to opt-out of such disclosure. If you have a joint account, we will treat an opt-out direction by a joint customer as applying to all associated joint customers. If you wish to opt-out, now or at any time in the future, please contact our Compliance Department at (800) 866-6116 or email address: optout@laidlawltd.com. You may also contact us by mail at Laidlaw & Co. (UK) Ltd. Attention: Compliance Department, 90 Park Avenue, 31st Floor, New York, NY 10016