

HUATAI- PRIVACY POLICY

Huatai Financial USA Inc. (“HUATAI”) believes in protecting the privacy of any personal information you provide. We do not disclose any nonpublic personal information about our customers, or former customers, to anyone except as permitted by law. This privacy policy may change from time to time and you will receive written notification of any such changes.

Collection of Information:

Huatai is committed to safeguarding such information from loss, misuse, unauthorized access, disclosure and alteration. This privacy policy statement is provided to you on behalf of Huatai and addresses data collection, use and disclosure practices.

Personal Information Collected

We may collect personally identifiable information about you from the following sources:

- Information from communication we have with you;
- Information we receive from you on applications or other forms;
- Information we receive from a consumer reporting agency;
- Information from third parties who provide consumer information;
- Information about your transactions with Huatai;
- Information about you that we obtain through an information collecting device from a web server.

The reason that Huatai collects information is to create and foster ongoing customer relationships. This includes your name, address, approximate age, investment experience and other identifiable information.

Use and Disclosure of Your Information

We may use and/or share your information for the following reasons:

- To complete any transactions, you may perform through us;
- To contact you in response to your inquiries;
- To contact you when necessary;
- To be provided to Huatai's third parties in connection with the legitimate business purposes of Huatai;
- To third parties for legitimate business purposes;
- To third parties that assist us with preparing and processing orders and statements;
- Generate statistical studies;
- As required by law or regulation, or as requested by government authorities, or for the protection of persons or property;
- For other business purposes.

Huatai will safeguard customer information from unauthorized access by their confidentiality policies and/or limiting the number of employees permitted to access such information through staff passwords, and by having in place a process for disciplinary action where appropriate.

However, due to the design of the internet, we cannot guarantee that communications between you and our servers will be free from unauthorized access by third parties.

The Congress of the United States enacted the USA Patriot Act to fight the funding of terrorism and money laundering activities, federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account.

Huatai is therefore required when opening accounts to ask for your name, address, date of birth and other information that will allow us to identify you. We may also ask to see your unexpired government ID or other identifying documents.