

US CONSUMER PRIVACY NOTICE

LAST UPDATED: October 31, 2023

This Privacy Notice describes how Apex Clearing Corporation, as part of the Apex Fintech Solutions group of companies, (“Apex,” “we,” “us,” “our”) collects, discloses, and protects your personal information. Apex carries your account as a clearing broker by arrangement with your broker/dealer or registered investment advisor as Apex’s introducing client. Please note that this notice generally applies to former customers of Apex as well as current customers.

Personal Information Collected

In order to service your account as clearing broker, information is provided to Apex by your introducing firm who collects information from you in order to provide the financial services that you have requested. Apex also collects information from other third parties and when it provides services to you. The information may include:

- 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 activity
- Information which may be received from consumer reporting agencies, such as credit bureau reports
- Information relating to your creditworthiness
- Information which may be received from other sources with your consent or with the consent of your introducing firm

In addition, Apex may compile aggregate, anonymous, or de-identified data from various sources, including but not limited to accounts and transactions. This data, which Apex may use for its business purposes consistent with applicable law, does not identify individual customers.

Sharing of Nonpublic Personal Information

Apex does not disclose your nonpublic personal information to any nonaffiliated third parties, except as required or permitted by law and for our everyday business purposes, including but not limited to any obligations of Apex under the USA PATRIOT Act, and to facilitate the clearing of customer transactions in the ordinary course of business. We may disclose all of the types of non-public personal information that we collect about you.

Apex has multiple affiliates and relationships with third party companies. Examples of these companies include financial and non-financial companies that perform services such as data processing and companies that perform securities executions on your behalf. Our affiliates include companies with an Apex or PEAK6 name and CODA Markets Inc. Apex may share information among its affiliates, as permitted by law and for our everyday business purposes, to better service your financial needs or to improve or expand our services and products.

We do not share your personal information in any manner that you have a right to limit under applicable US laws.

Security

Apex implements and maintains reasonable security practices appropriate to the nature of the personal information we collect. These include administrative, technical, physical, and electronic safeguards designed to protect personal information from unauthorized or illegal access, destruction, use, modification, or disclosure. Among other things, we implement access control mechanisms to control our employees’ access to systems and data, including non-public personal information.

Access to Your Information

You may access your account information through a variety of media offered by your introducing firm and Apex (i.e. statements or online services). Please contact your introducing firm if you require any additional information.

Changes to this Privacy Notice

Apex reserves the right to make changes to this notice.

How to Get in Touch with Apex about this Privacy Notice

For reference, this Privacy Notice is available on our website at www.apexfintechsolutions.com/privacy

For more information relating to this Privacy Notice please contact us through one of the following channels:

By Electronic Means

Please visit the Contact Us section of our website at www.apexfintechsolutions.com/contact-us and follow the instructions to contact Investor Support.

By Mail

Apex Fintech Solutions
Attn: Privacy Department
350 N. St. Paul St., Suite 1300
Dallas, Texas 75201