

FACTS

WHAT DOES AXOS CLEARING LLC (“Axos Clearing”) DO WITH YOUR PERSONAL INFORMATION?

Who?

As a clearing firm, Axos Clearing provides clearing services to your introducing broker dealer pursuant to a Fully Disclosed Clearing Agreement. Examples of these clearing services include, but are not limited to trade execution, trade reporting, and other back office operations. The nature of these services requires Axos Clearing to receive and retain nonpublic personal information.

Why?

Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Axos Clearing is committed to protecting the privacy of all nonpublic personal information that it receives. Federal law also requires us to tell you how we collect, share, and protect your personal information. **Please read this notice carefully to understand what we do.**

What?

We collect your personal information from your introducing broker dealer in order to provide the services necessary to maintain your account. The types of personal information we collect and share may include, but are not limited to:

- Personal information, such as Social Security number and date of birth
- Financial information, such as account balances, positions and transactions, income, and net worth
- Contact information, such as phone numbers and email addresses
- Demographic information, such as gender, education, and occupation

How?

All financial companies need to share customers’ personal information to run their everyday businesses. In the section below, we list the reasons financial companies like Axos Clearing can share customers’ personal information, whether Axos Clearing generally shares, and whether you can limit this sharing. If you are no longer a customer of one of our introducing broker dealers, we may nevertheless continue to share your information as described in this notice.

Reasons we can share your personal information	Does Axos Clearing share?	Can you limit this sharing?
For our everyday business purposes Such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
For our non-affiliates’ everyday business purposes Axos Clearing may enter into contracts with certain non-affiliated third parties to assist in servicing your account	Yes	No
For our marketing purposes To offer our products and service to your introducing broker dealer and/or you	No	We do not share
For our affiliates’ everyday business purposes Information about your transactions and experiences	Yes	No
For our affiliates’ everyday business purposes Information about your creditworthiness	No	We do not share
For our affiliates to market to you	No	We do not share

Questions?

To discuss your options to limit our sharing of your personal information, please call 866-774-0218 or email clientservices@AxosClearing.com.

Who we are

Who is providing this notice?

Axos Clearing LLC; 1200 Landmark Center, Ste. 800; Omaha, NE 68102-1916

What we do

How does Axos Clearing protect my personal information?

To protect your personal information from unauthorized access and use, Axos Clearing maintains physical, electronic, and procedural safeguards in accordance with industry and legal standards.

How does Axos Clearing collect my personal information?

Axos Clearing may collect information:

- Directly from you or your introducing broker dealer on applications or other forms;
- About your account transactions with your introducing broker dealer, such as account balances, positions, and activity;
- From consumer and credit reporting agencies;
- Received from other sources with your consent or the consent of your introducing broker dealer.

Why can't I limit all sharing?

Federal law gives you the right to limit only:

- Sharing for affiliates' everyday business purposes – information about your creditworthiness
- Affiliates from using your information to market to you
- Sharing for non-affiliates to market to you

State laws and individual companies may give you additional rights to limit sharing.

Definitions

Affiliates

Companies related by common ownership or control. They can be financial and nonfinancial companies.

Non-affiliates

Companies NOT related by common ownership or control. They can be financial and nonfinancial companies.