

# The Sisung Group Privacy Policy

*For the purpose of this document, the term “our clients” refers to you.*

The Sisung Group (Sisung) is honored to have you as a client and recognizes the importance of protecting any personal information that it collects from you regarding your financial affairs and other matters. Sisung is committed to safeguarding any information it receives and maintains about you. Below is the privacy policy that Sisung has created to protect your privacy.

1. Sisung collects non-public information about our clients from the following sources: (i) New account applications (personal and other information such as address, phone number, social security number or Tax ID); (ii) Suitability forms and other forms (financial and other information such as assets, income, and investment experience and objectives); (iii) Customer’s transactions facilitated by Sisung; and (iv) Consumer reporting agencies (such as credit worthiness and credit history).
2. The only disclosure Sisung may make of our clients non-public information is to outside companies in certain limited circumstances, including: (i) assistance in the processing of client accounts, (ii) outsourcing of services such as printing and mailing your customer account statements, data processing, fraud prevention, etc.; (iii) to broker dealers to effectuate a transaction; and (iv) when we believe that disclosure is required or permitted under law; for example, we may be required to disclose personal information to cooperate with regulatory or law enforcement authorities, to resolve customer disputes, to perform credit/authentication checks, or for risk control. A client may opt out of the disclosures herein indicated, with the understanding that Sisung will not be able to perform for such client many of the services we provide. *To opt out please call 1-800-259-7213 and ask to speak to Lane Sisung or Rich Solares.*
3. In addition, internal data security policies restrict access to nonpublic information to authorized employees. Sisung maintains physical, electronic and procedural safeguards that are designed to comply with federal standards to guard nonpublic personal information. Employees who violate these policies are subject to disciplinary action, up to and including termination.
4. Sisung does not disclose nonpublic information about former clients, except as permitted or required by law.
5. If our clients visit a Sisung web site, a “cookie” may occasionally be used in order to provide better service, to facilitate our customer’s use of the web site, to track usage of the web site, and to address security hazards. A “cookie” is a small piece of information that a web site stores on a personal computer, and which it can later retrieve. No “cookie” will contain information that will enable anyone to contact our clients via telephone, e-mail, or any other means. If Sisung clients are uncomfortable with the use of cookie technology, your browser can be set to refuse cookies. Certain of Sisung’s services, however, could be dependent on cookies and our clients may disable those services by refusing cookies.