PRIVACY NOTICE

T.R. Winston & Company, LLC ("T.R. Winston") is committed to protecting your privacy and maintaining the confidentiality and security of your personal information. We are sending you this privacy notice to help you understand how we handle the personal information about you that we collect and how we use it to service your account.

The examples contained within this notice are illustrations and are not intended to be exclusive. This notice complies with recently enacted Federal law regarding privacy. You may have additional rights under other foreign or domestic laws that may apply to you. We reserve the right to change the privacy policies in this notice at any time.

Categories of Information We Collect

Protecting your personal information is an important priority for T.R. Winston. We use the personal information collected about you in order to provide you with better service. We may collect nonpublic personal information about you from the following sources:

- Applications or forms (for example, name, address, Social Security number, birth date, assets, and income);
- Transactional activity in your account (for example, trading history, commissions, and account balances);
- Other interactions with us (for example, discussions or emails with our staff); and
- Verification services and consumer reporting agencies (for example, your creditworthiness or credit history).

We disclose nonpublic personal information about you (or former customers) to nonaffiliated third party service providers as permitted by law in connection with the rendering of services for your account. Such nonaffiliated third parties include Pershing, LLC and, as applicable, other executing and/or clearing brokers for your account.

We do not disclose nonpublic personal information about you (or former customers) to affiliates except with your consent.

Even if you are no longer a customer, T.R. Winston will continue to adhere to the policies described in this notice with respect to your personal information.

Confidentiality and Security

T.R. Winston has always considered the protection of sensitive information to be a sound business practice and a foundation of customer trust. We protect personal information we collect about you by maintaining physical, electronic and procedural safeguards that meet or exceed applicable legal requirements. Within T.R. Winston we restrict access to nonpublic personal information about you to those employees who need to know that information to provide products or services to you.