

Privacy Policy

Dear Client:

Matrix Executions LLC (“Matrix” or the “Firm”) is a registered broker/dealer that is committed to maintaining the security and confidentiality of the non-public personal information about its clients. The Privacy Policy describes Matrix’s sharing, use, and protection of clients’ personal information collected upon the client entering into an agreement for the utilization of Matrix services and products. This Privacy Policy covers all of Matrix services and products. Under the law you have the right to limit some, but not all, sharing of your personal information. By providing personal information to Matrix, you agree to the terms and conditions of this Privacy Policy, which is a binding contract between Matrix and you.

Notwithstanding the foregoing, Matrix reserves the right to make changes to its Privacy Policy. If we were to make a material change in the Firm’s policy, we would be prohibited under the law from doing so without advising you first and allowing you the opportunity to “opt-out” of such disclosure. If we make material changes to the Privacy Policy, it will either be noted on the Firm’s website that material changes have been made or Matrix will notify clients by email. Your continued use of Matrix products and services after the Firm’s post or sending of notice of material changes serves as your consent to such changes.

Personal Information Collected

Matrix holds all non-public personal information provided to our Firm in confidence. These information records include all personal information that Matrix collect from you in connection with any of the services and products provided by Matrix, as well as information obtained from other sources.

For Example:

- Matrix may collect information such as your name, address, telephone number, email address, social security number, date of birth, net worth, income, financial objectives and investment experience through applications and other forms submitted by you upon applying for Matrix products and services.
- Matrix may collect information on your business entity that includes financial statements, business organization documents, beneficial owner information, and
- Matrix may access additional information from OFAC, SEC, FINRA, and States in which the client’s business is incorporated.
- Matrix may collect background information from and through third-party vendors to verify representations you have made and to comply with various regulatory requirements.
- Matrix may also collect and use other information in a manner that does not uniquely identify your company. This is non-personally identifiable information

and includes such items as orders you send to us, transactions you enter, information about your equipment, information about services and products you may use and how you use them. The Firm may use such non-personally identifiable information to analyze your usage of our service and products and may share such information with our marketing agents. The Firm may also use information that does not uniquely identify your company in our research to help us improve the products and services we provide to our clients.

How Matrix Shares your Personal Information

Matrix Privacy Policy describes the information the Firm may collect about you when you enter into agreements with us, use our services and products, send us communications, or otherwise engage with us, and what we do with such information.

- Matrix limits its employees, agents, and affiliates' access to non-public personal information about you only to those who have a business or professional reason for knowing. Only authorized personnel have access to our systems.
- Matrix provides access to client personal information only to non-affiliated parties as permitted or required by law. (For example, federal regulations permit us to share a limited amount of non-public personal information about you with our other third parties that assist us in processing transactions or that perform administrative services, prepare reports and statements, or that provide regulatory support or technical support, payment processing, legal services, banking services, cloud storage, and other services for us).
- Matrix may share your non-public personal information with unaffiliated parties in order to provide our services and products to you. This includes effecting, administering, and enforcing transactions for you; including providing you with statements and records, maintaining our record archives, enforcing our client agreements with you, and providing you with tools to assist in your trading activities.
- For unaffiliated third parties that require access to your non-public personal information including financial service companies, auditors, consultants, and other service providers, the Firm seeks to negotiate commercially reasonable confidentiality in our agreements with them and expect them to keep this information confidential in a manner consistent with our Privacy Policy.
- Federal and state regulators as well as regulators from the Financial Industry Regulatory Authority ("FINRA"), and securities and futures Exchanges also may review Firm records that contain your non-public personal information as permitted by law. Matrix may also provide your personal information pursuant to other legal processes such as national security requirements, and protecting ourselves, our affiliates, and clients from illegal activities in responding to an emergency that requires disclosure of specified information. The Firm may also provide non-public confidential information to law enforcement.

Matrix does not provide your personally identifiable information to mailing list vendors, third-party marketers, or solicitors for any purpose. Non-public personally identifiable information about you will be maintained during the time you are a client and for the required time thereafter that such records are required to be maintained by federal and state law, and the rules and regulations of the financial industry as defined by FINRA and the SEC. The Firm may retain such information for an additional period that Matrix deems reasonable or destroy such information.

How Matrix Protects your Personal Information

Matrix strives to maintain a secure office and computer environment consistent with industry standards to ensure that your non-public personal information is not placed at unreasonable risk. The Firm employs firewalls, intrusion prevention, encryption technology, user authentication systems and access control mechanisms to control access to systems and data believed appropriate. Although Matrix takes such steps to provide security, no security system is always effective, and we cannot guarantee that our systems will be completely secure.

This Privacy Policy is available on our website www.matrixexecutions.com. For more information relating to Matrix Execution's Privacy Policy, please contact ops@matrixexecutions.com.

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