



## PRIVACY POLICY

October 7, 2020

### Re: Annual Privacy Notice

Dear Customer:

Nanhua USA LLC (“Nanhua USA”) understands the confidentiality and security of the personal information you share with us and is committed to providing exceptional client service and ease of mind that your business, financial, and/or personal information is secure. We use reasonable and diligent care to protect your data from loss, misuse, unauthorized access, disclosure, alteration, or destruction. We have created this privacy statement with your privacy and security in mind. This Privacy Statement may be revised from time to time.

**Nanhua USA does not sell or license customer’s nonpublic personal information with non-affiliated third parties.**

To provide FCM services and to comply with regulatory requirements, Nanhua USA collects certain personal, nonpublic information from you, which includes information:

- Provided during the account application process (e.g., your name, email address, telephone number, birth date, social security number, investment objectives, etc.);
- Included in the customer account agreements or other related forms;
- Acquired as a result of the transactions you conduct with Nanhua USA;
- Collected through our website.

Personal information is only collected when the customer submits it, or the visitor accesses Nanhua USA’s site. Generally, this information is requested when a visitor is asked to register before entering a limited-access site, or when the visitor requests information from or contact the Nanhua USA. The customer is responsible for maintaining the correct information required for trade clearing, trade processing, and trade reporting.

In an effort to publish content visitors seek and to verify services and agreements, Nanhua USA may collect site-visitation statistics using cookies. A cookie is a piece of data that our website may provide to your browser or mobile device while you are on our site. When a user visits our site, a cookie is placed on the visitor’s machine (if the visitor accepts cookies) or is read if the visitor has accessed the site previously.

We use this technology as a tool to compile statistics about our website and mobile application usage. We do not share this information with non-affiliated third parties. Additionally, we do not allow other companies to place technology on our site that would develop personally identifiable information unless ordered by a court or at the request of an authorized governmental or quasi-governmental agency.

If you choose not to have your browser accept cookies from the website [nanhua-usa.com](http://nanhua-usa.com), you may only view the text and graphics on the public websites. Limited-access sites require that the visitor’s browser accepts cookies.



**Nanhua USA maintains physical, electronic, and procedural safeguards to protect the confidentiality of your information in several ways:**

- We take substantial precautions to safeguard your personal, nonpublic information. For example, the Nanhua USA FTP Server can be accessed only by authorized Nanhua USA personnel via valid usernames and passwords. Also, our Internet-based systems include security measures such as encryption and firewalls;
- We restrict access to the personal, nonpublic information that you have shared with us to our employees and affiliates who need to know such information in connection with the services that we provide to you;
- We do not sell or license lists of our customers or the personal, nonpublic information you provide;
- We maintain strict policies that prohibit employees who have access to your personal, nonpublic information from using or disclosing such information except for business purposes.

In addition, our website has security measures in place to protect the loss, misuse, and alteration of the information under our control. We take a number of security precautions to ensure the integrity and confidentiality of our data. We define the individuals or groups authorized to access and/or change data. This prevents unauthorized individuals from accessing, copying, editing, or deleting private data. We also implement an audit system that tracks access, both successful and unsuccessful, to confidential data. This audit information is used to continually evaluate and refine our security measures and identify individuals who might attempt to inappropriately access data and take remedial action.

**GENERAL CONTACT INFORMATION**

If you have any questions about this privacy statement, the practices of this site, or your dealings with this website, please contact us at the following methods:

Email: [contact@nanhua-usa.com](mailto:contact@nanhua-usa.com)

Address: 30 S. Wacker Dr., Ste 3850, Chicago, IL 60606

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