

若本披露的英文與中文版本內容有任何差異，以英文版本為準。

## 實情

### 德美利證券 如何處理您的個人信息？

#### 為什麼？

金融公司選擇如何共享您的個人信息。聯邦法律給予消費者權利以限制部分共享而不可全部共享。聯邦法律也要求我們告知您我們如何收集、分享和保護您的個人信息。請仔細閱讀此通知以瞭解我們的做法。

#### 什麼？

我們收集和共享的個人信息類型取決于您所使用的產品或服務。這些信息可能包括：

- 社會安全號碼和財務賬號
- 賬戶餘額和交易信息
- 收入和就業信息

#### 如何？

所有金融公司都需要共享客戶的個人信息來運行其日常業務。在下面的章節中，我們列出了金融公司共享其客戶個人信息的原因；德美利證券選擇共享的原因；以及您是否可以限制這些共享。

我們可以共享您個人信息的原因	德美利證券為此共享您的信息嗎？	您可以限制此共享嗎？
用于我們的日常業務目的 – 例如處理您的交易、維護您的賬戶、響應法庭指令和法律調查，或向信用機構報告	是	否
用于營銷目的 – 為您提供我們的產品和服務	是	否
用于與其它金融公司的共同營銷目的	否	我們不共享
用于我們的附屬公司日常業務目的 – 您的交易和經驗相關信息	是	否
用于我們的附屬公司日常業務目的 – 您的信用相關信息	否	我們不共享
用于我們的附屬公司向您營銷	是	是
用于非附屬公司向您營銷	否	我們不共享

#### 要限制 我們共享

- 登入 [chinese.tdameritrade.com](http://chinese.tdameritrade.com)，并進入 **客戶服務 > 我的資料 > 通訊喜好 > 信息分享**；或
- 致電 800-326-7141 聯繫客服代表。

#### 請注意：

如果您的賬戶由獨立投資顧問管理，那麼您的賬戶選項已經設置為限制共享。

如果您是新客戶，我們可以在發出此通知30天后開始共享您的信息。如果您不再是我們的客戶，我們依此通知所述將繼續共享您的信息。

然而，您可以隨時聯繫我們限制此共享。

#### 有疑問？

致電 800-326-7141 或發送電子郵件至 [privacy@tdameritrade.com](mailto:privacy@tdameritrade.com)

## 我們是誰

<p><b>誰在提供此通知？</b></p>	<p>德美利證券公司及其部門，以及TD Ameritrade Holding Corporation及其公司家族，包括TD Ameritrade Investment Management, LLC。TD Ameritrade Holding Corporation是Charles Schwab Corporation的全資子公司。</p>
<h2>我們做什麼</h2>	
<p><b>德美利證券如何保護我的個人信息？</b></p>	<p>爲了保護您的個人信息，防範未經授權的訪問和使用，我們使用符合聯邦法律的安全措施。這些措施包括計算機防護、加密文件和安全辦公樓。 更多信息，請訪問tdameritrade.com/security.page。</p>
<p><b>德美利證券如何收集我的個人信息？</b></p>	<p>我們收集您的個人信息，例如當您：</p> <ul style="list-style-type: none"> <li>■ 開設賬戶或從您的賬戶存款或取款時</li> <li>■ 指示我們買入證券或指示我們賣出您的證券時</li> <li>■ 告訴我們您的投資或退休投資組合時</li> </ul> <p>我們也從其它渠道收集您的個人信息，例如信用報告機構、附屬公司或其它公司。</p>
<p><b>爲什麼我不可以限制所有共享？</b></p>	<p>聯邦法律給予您的權利僅可以限制以下共享：</p> <ul style="list-style-type: none"> <li>■ 以附屬公司日常業務爲目的的共享 – 關於您的信用信息</li> <li>■ 附屬公司使用您的信息向您營銷</li> <li>■ 非附屬公司向您營銷的共享</li> </ul> <p>州憲法和個體公司可能給予您額外的權利來限制共享。請參閱下面更多州憲法規定的權利。</p>
<p><b>當我對我與他人共同持有的賬戶限制共享時，將會怎樣？</b></p>	<p>您的選擇將對您賬戶內的所有持有人生效。</p>

## 定義

<p><b>附屬公司</b></p>	<p>因共同所有權或支配權而相關聯的公司。它們可以是金融或非金融公司。</p> <ul style="list-style-type: none"> <li>■ 我們的附屬公司包括名稱中包含“德美利證券”或“嘉信理財”的公司；非金融公司如TD Ameritrade Media Productions Company。</li> </ul>
<p><b>非附屬公司</b></p>	<p>不因共同所有權或支配權而相關聯的公司。它們可以是金融或非金融公司。</p> <ul style="list-style-type: none"> <li>■ 德美利證券不與非附屬公司共享。</li> </ul>
<p><b>共同營銷</b></p>	<p>非附屬金融公司之間的正式協議，用于共同向您營銷金融產品或服務。</p> <ul style="list-style-type: none"> <li>■ 德美利證券不進行共同營銷。</li> </ul>

## 其它重要信息

**內華達州居民。**我們根據州法向您提供此通知。您可以通過致電800-326-7141將您放入我們內部的不可致電列表。內華達州法律還要求我們向您提供以下聯繫信息：消費者保護局、內華達州總檢察長辦公室，555 E. Washington St.，Suite 3900，Las Vegas，NV 89101；電話號碼-702-486-3132；電子郵件：BCPINFO@ag.state.nv.us。

**佛蒙特州居民。**根據佛蒙特州法律，除非法律允許的情況(例如您同意或爲您的賬戶提供服務)，我們將不會將收集的佛蒙特州居民的信息共享給附屬機構以外的公司。未經您的授權或同意，我們不會將您的信用信息與我們的附屬機構共享，但我們可能會未經您的同意與我們的附屬公司共享我們的交易或經驗的相關信息。

**加利福尼亞州居民。**根據加利福尼亞州的法律，除非法律允許，否則我們不會與非關聯方共享我們收集的有關您的信息。例如，我們可能會在您同意的情況下分享信息或爲您的賬戶提供服務。在我們的附屬公司中，我們將按照加利福尼亞州法律所要求的程度限制信息共享。

德美利證券公司作爲 FINRA/SIPC 成員，是Charles Schwab Corporation的子公司。德美利證券是由TD Ameritrade IP Company, Inc. 和 Toronto-Dominion Bank 共同擁有的商標。©2021 Charles Schwab & Co. Inc.版權所有。

In case of any discrepancy between the English and Chinese version of this disclosure, the English version shall prevail.

## FACTS

### WHAT DOES TD AMERITRADE DO WITH YOUR 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. 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?

The types of personal information we collect and share depend on the product or service you have with us. This information can include:

- Social Security number and financial account numbers
- Account balances and transaction information
- Income and employment information

#### How?

All financial companies need to share customers' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' personal information; the reasons TD Ameritrade chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does TD Ameritrade share?	Can you limit this sharing?
<b>For our everyday business purposes</b> – such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
<b>For our marketing purposes</b> – to offer our products and services to you	Yes	No
<b>For joint marketing with other financial companies</b>	No	We do not share
<b>For our affiliates' everyday business purposes</b> – information about your transactions and experiences	Yes	No
<b>For our affiliates' everyday business purposes</b> – information about your creditworthiness	No	We do not share
<b>For our affiliates to market to you</b>	Yes	Yes
<b>For nonaffiliates to market to you</b>	No	We do not share

#### To limit our sharing

- Log in to [tdameritrade.com](https://tdameritrade.com), and go to **Client Services > My Profile > Communication Preferences > Information Sharing**; or
- Contact a Client Services representative at 800-326-7141.

#### Please note:

If your account is managed by an independent investment advisor, your account preferences are already set to limit our sharing.

If you are a new client, we can begin sharing your information 30 days from the date we sent this notice. When you are no longer our client, we continue to share your information as described in this notice.

However, you can contact us at any time to limit our sharing.

#### Questions?

Call 800-326-7141 or email [privacy@tdameritrade.com](mailto:privacy@tdameritrade.com).

## Who we are

<b>Who is providing this notice?</b>	TD Ameritrade, Inc. and its divisions and TD Ameritrade Holding Corporation and its family of companies, including TD Ameritrade Investment Management, LLC. TD Ameritrade Holding Corporation is a wholly owned subsidiary of The Charles Schwab Corporation.
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## What we do

<b>How does TD Ameritrade protect my personal information?</b>	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings. For more information, please visit <a href="https://tdameritrade.com/security.page">tdameritrade.com/security.page</a> .
<b>How does TD Ameritrade collect my personal information?</b>	We collect your personal information, for example, when you <ul style="list-style-type: none"> <li>■ Open an account or make deposits or withdrawals from your account</li> <li>■ Direct us to buy securities or direct us to sell your securities</li> <li>■ Tell us about your investment or retirement portfolio</li> </ul> We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.
<b>Why can't I limit all sharing?</b>	Federal law gives you the right to limit only <ul style="list-style-type: none"> <li>■ Sharing for affiliates' everyday business purposes—information about your creditworthiness</li> <li>■ Affiliates from using your information to market to you</li> <li>■ Sharing for nonaffiliates to market to you</li> </ul> State laws and individual companies may give you additional rights to limit sharing. See below for more on your rights under state law.
<b>What happens when I limit sharing for an account I hold jointly with someone else?</b>	Your choices will apply to everyone on your account.

## Definitions

<b>Affiliates</b>	Companies related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> <li>■ Our affiliates include companies with a TD Ameritrade or Charles Schwab name; nonfinancial companies such as TD Ameritrade Media Productions Company.</li> </ul>
<b>Nonaffiliates</b>	Companies not related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> <li>■ TD Ameritrade does not share with nonaffiliates.</li> </ul>
<b>Joint marketing</b>	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. <ul style="list-style-type: none"> <li>■ TD Ameritrade doesn't jointly market.</li> </ul>

## Other important information

**For Nevada Residents.** We are providing you this notice pursuant to state law. You may be placed on our internal Do Not Call List by calling 800-326-7141. Nevada law requires that we also provide you with the following contact information: Bureau of Consumer Protection, Office of the Nevada Attorney General, 555 E. Washington St., Suite 3900, Las Vegas, NV 89101; Phone number: 702-486-3132; email: [BCPINFO@ag.state.nv.us](mailto:BCPINFO@ag.state.nv.us).

**For Vermont Residents.** In accordance with Vermont law, we will not share information we collect about Vermont residents with companies who are not affiliates, except as permitted by law, such as with your consent or to service your accounts. We will not share information about your creditworthiness with our affiliates without your authorization or consent, but we may share information about our transactions or experiences with you with our affiliates without your consent.

**For California Residents.** In accordance with California law, we will not share information we collect about you with nonaffiliates, except as allowed by law. For example, we may share information with your consent or to service your accounts. Among our affiliates, we will limit information sharing to the extent required by California law.

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