

若本披露的英文与中文版本内容有任何差异，以英文版本为准。

## 实情

### 德美利证券 如何处理您的个人信息？

#### 为什么？

金融公司选择如何共享您的个人信息。联邦法律给予消费者权利以限制部分共享而不可全部共享。联邦法律也要求我们告知您我们如何收集、分享和保护您的个人信息。请仔细阅读此通知以了解我们的做法。

#### 什么？

我们收集和共享的个人信息类型取决于您所使用的产品或服务。这些信息可能包括：

- 社会安全号码和财务账号
- 账户余额和交易信息
- 收入和就业信息

#### 如何？

所有金融公司都需要共享客户的个人信息来运行其日常业务。在下面的章节中，我们列出了金融公司共享其客户个人信息的原因；德美利证券选择共享的原因；以及您是否可以限制这些共享。

我们可以共享您个人信息的原因	德美利证券为此共享您的信息吗？	您可以限制此共享吗？
用于我们的日常业务目的 – 例如处理您的交易、维护您的账户、响应法庭指令和法律调查，或向信用机构报告	是	否
用于营销目的 – 为您提供我们的产品和服务	是	否
用于与其它金融公司的共同营销目的	否	我们不共享
用于我们的附属公司日常业务目的 – 您的交易和经验相关信息	是	否
用于我们的附属公司日常业务目的 – 您的信用相关信息	否	我们不共享
用于我们的附属公司向您营销	是	是
用于非附属公司向您营销	否	我们不共享

#### 要限制 我们共享

- 登入 [chinese.tdameritrade.com](http://chinese.tdameritrade.com)，并进入 **客户服务 > 我的资料 > 通讯喜好 > 信息分享**；或
- 致电 800-326-7141 联系客服代表。

#### 请注意：

如果您的账户由独立投资顾问管理，那么您的账户选项已经设置为限制共享。

如果您是新客户，我们可以在发出此通知30天后开始共享您的信息。如果您不再是我们的客户，我们依此通知所述将继续共享您的信息。

然而，您可以随时联系我们限制此共享。

#### 有疑问？

致电 800-326-7141。

## 我们是谁

<p><b>谁在提供此通知？</b></p>	<p>德美利证券公司和其部门，以及TD Ameritrade Holding Corporation和其公司家族，包括TD Ameritrade Investment Management, LLC。TD Ameritrade Holding Corporation是Charles Schwab Corporation的全资子公司。</p>
<h2>我们做什么</h2>	
<p><b>德美利证券如何保护我的个人信息？</b></p>	<p>为了保护您的个人信息，防范未经授权的访问和使用，我们使用符合联邦法律的安全措施。这些措施包括计算机防护、加密文件和安全办公楼。</p> <p>更多信息，请访问<a href="https://tdameritrade.com/security.page">tdameritrade.com/security.page</a>。</p>
<p><b>德美利证券如何收集我的个人信息？</b></p>	<p>我们收集您的个人信息，例如当您：</p> <ul style="list-style-type: none"> <li>■ 开设账户或从您的账户存款或取款时</li> <li>■ 指示我们买入证券或指示我们卖出您的证券时</li> <li>■ 告诉我们您的投资或退休投资组合时</li> </ul> <p>我们也从其它渠道收集您的个人信息，例如信用报告机构、附属公司或其它公司。</p>
<p><b>为什么我不可以限制所有共享？</b></p>	<p>联邦法律给予您的权利仅可以限制以下共享：</p> <ul style="list-style-type: none"> <li>■ 以附属公司日常业务为目的的共享 – 关于您的信用信息</li> <li>■ 附属公司使用您的信息向您营销</li> <li>■ 非附属公司向您营销的共享</li> </ul> <p>州宪法和个体公司可能给予您额外的权利来限制共享。请参阅下面更多州宪法规定下的权利。</p>
<p><b>当我对我与他人共同持有的账户限制共享时，将会怎样？</b></p>	<p>您的选择将对您账户内的所有持有人生效。</p>

## 定义

<p><b>附属公司</b></p>	<p>因共同所有权或支配权而相关联的公司。它们可以是金融或非金融公司。</p> <ul style="list-style-type: none"> <li>■ 我们的附属公司包括名称中包含“德美利证券”或“嘉信理财”的公司；非金融公司如TD Ameritrade Media Productions Company。</li> </ul>
<p><b>非附属公司</b></p>	<p>不因共同所有权或支配权而相关联的公司。它们可以是金融或非金融公司。</p> <ul style="list-style-type: none"> <li>■ 德美利证券不与非附属公司共享。</li> </ul>
<p><b>共同营销</b></p>	<p>非附属金融公司之间的正式协议，用于共同向您营销金融产品或服务。</p> <ul style="list-style-type: none"> <li>■ 德美利证券不进行共同营销。</li> </ul>

## 其它重要信息

**内华达州居民。**我们根据州法向您提供此通知。您可以通过致电800-326-7141将您放入我们内部的不可致电列表。内华达州法律还要求我们向您提供以下联系信息：消费者保护局、内华达州总检察长办公室，555 E. Washington St.，Suite 3900，Las Vegas，NV 89101；电话号码-702-486-3132；电子邮件：BCPINFO@ag.state.nv.us。

**佛蒙特州居民。**根据佛蒙特州法律，除非法律允许的情况(例如您同意或为您的账户提供服务)，我们将不会将收集的佛蒙特州居民的信息共享给附属机构以外的公司。未经您的授权或同意，我们不会将您的信用信息与我们的附属机构共享，但我们可能会未经您的同意与我们的附属公司共享我们的交易或经验的相关信息。

**加利福尼亚州居民。**根据加利福尼亚州的法律，除非法律允许，否则我们不会与非关联方共享我们收集的与您有关的信息。例如，我们可能会在您同意的情况下分享信息或为您的账户提供服务。在我们的附属公司中，我们将按照加利福尼亚州法律所要求的程度限制信息共享。

德美利证券公司作为 FINRA/SIPC 成员，是Charles Schwab Corporation的子公司。德美利证券是由TD Ameritrade IP Company, Inc. 和 Toronto-Dominion Bank 共同拥有的商标。©2022 Charles Schwab & Co. Inc. 版权所有。

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.

## 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.

TD Ameritrade, Inc., member FINRA/SIPC, a subsidiary of The Charles Schwab Corporation. TD Ameritrade is a trademark jointly owned by TD Ameritrade IP Company, Inc. and The Toronto-Dominion Bank. © 2022 Charles Schwab & Co. Inc. All rights reserved.