

Midwood Securities
Member NYSE, NASDAQ

Privacy Policy

The following describes how Midwood Securities, Inc. handles your personal information, and what steps we take to protect your privacy. **We do not use your personal information for marketing purposes.**

Who We Are

We are a broker/dealer specializing in securities executions for institutional accounts as well as high net worth retail clients. All clearing services for Midwood Securities are provided on a fully disclosed basis by our clearing agent, First Clearing, LLC.

Accessing Information

Access to customer information is authorized for Midwood's business purposes only. It is based on our need to know such information to assist your broker in providing products or services to you, or to conduct Midwood's business. Our staff and representatives who have access to your information are required to follow our procedures reasonably designed to keep your information secure and confidential. Employees who violate our Privacy Policy will be subject to disciplinary process.

Collecting Information to Conduct Business

Midwood Securities is required to collect certain information from our clients to fulfill the requirements of government and industry regulators including verification in accordance with the PATRIOT Act, as well as to manage risk for our firm. Data is collected when an account application is submitted, and updated as changes occur. Included in this information are name, address, social security number, assets and income. Data is also collected about your relationship with your Midwood broker, such as products or services purchased, account balance and payment history. Information may also be collected from consumer-reporting agencies.

Security Standards

Midwood safeguards information in accordance with industry standards and regulations. Measures we take in this regard include implementation of physical, electronic and procedural safeguards. Our clearing agent, First Clearing LLC, also takes measures to protect your personal information, which is outlined in its privacy statement.

Sharing Information

In the course of conducting business, we may disclose some or all of the previously described information about you to our clearing agent, First Clearing, LLC, other businesses including non-affiliated third parties, and government agencies and regulators, as allowed by law, for the purpose of:

- Providing customer service or account maintenance;
- In response to a subpoena, to prevent fraud, or to comply with an inquiry by a government agency or regulator; or
- Performing services for us or on our behalf to develop or maintain software.

Any third parties are required to protect the confidentiality and security of this information and to use it only for the agreed purposes. Our privacy policy is the same for current, as well as former clients.

Access to and Correction of Information

Upon written request, we will make available for your review any file we may maintain for your personal information; provided, that any information collected in connection with, or in anticipation of, any claim of legal proceeding will not be made available. If you believe that our records contain inaccurate or incomplete information about you, please let us know immediately. We will take steps to resolve any inaccuracies as soon as possible.

Opt-out clause

If you do not want Midwood to share your information (except as required by law) with any nonaffiliated third parties, specifically should the registered representative servicing your account leave to join another broker/dealer, please contact our Compliance Officer at 212-742-9601.

Questions

If you have questions regarding our privacy policy, please contact your registered rep, or you may contact us at: Midwood Securities, Inc., Attn: Compliance Department, One Battery Park Plaza, 24th Floor, New York, NY 1005. We appreciate the opportunity to service your account.