



## **ADM Investor Services, Inc.**

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### **PRIVACY POLICY**

Dear Client:

ADM Investor Services ("ADMIS") and its affiliated introducing broker that introduced your account to ADMIS, (hereafter jointly called the "Companies") are committed to protecting the privacy, accuracy and reliability of any personal information you choose to provide. The "Companies" are further committed to safeguarding such information from loss, misuse, unauthorized access, disclosure and alteration. This privacy policy statement is provided to you on behalf of the "Companies" and addresses the "Companies" data collection, use and disclosure practices. This privacy policy may change from time to time and you will receive written notification of any such changes. If your account was introduced to ADMIS by an independent introducing broker or another Futures Commission Merchant, this privacy policy applies only to how your personal information is handled and protected by ADMIS, not how it is handled and protected by your independent introducing broker or Futures Commission Merchant.

#### **Personal Information Collected**

The reason the "Companies" collect information is to create and foster ongoing customer relationships. In the normal course of this process, the "Companies" obtain and retain non-public (personal) information about you which is transmitted to us either directly by you or via your broker in order to open an account. This includes your name, address, tax identification number, approximate age, investment experience and other identifiable information. In addition, the "Companies" may obtain information about you through our affiliates, credit reporting services, regulatory information providers and other similar entities. The "Companies" limit such information to such facts as are necessary to establish a relationship with you as a customer and to offer accurate and superior service in the normal course of business as it relates to your account carried at the "Companies".

The "Companies" also obtain and retain non-public (personal) information about you resulting from transactions involving your financial investments. This includes your account balances, funding and transaction history. In addition, the "Companies" obtain and retain non-public (personal) information about you in connection with information obtained through an information-collecting device from a web server, often referred to as a "cookie".

#### **Use of Personal Information**

The "Companies" use your personal information for three general purposes:

- First, the "Companies" use the information to approve and activate an account for you and/or to make changes or additions to information previously provided to us to open an account for you.
- Second the "Companies" may use it to give you online access to your account information and the "Companies" proprietary information in a secured environment.
- Third, the "Companies" use the information in the normal course of business to transmit account activity statements and related documents to you relating to activity in your account with the "Companies".

#### **Disclosure of Personal Information**

The "Companies" take very seriously their responsibilities to keep your personal information private. The "Companies" will not disclose non-public personal information about our customers except as required and permitted by law and in the following instances:

- In processing or servicing of products or services offered by the "Companies" that have been consented to, requested or authorized by the customer.
- The "Companies" may share your personal information with affiliates and subsidiaries and/or unaffiliated third parties only as is necessary to verify the accuracy of the information you have provided, to conduct identity, background and credit history checks, to process or collect payments, to service your account, for audit purposes and/or to ensure regulatory compliance.

**A Subsidiary of Archer Daniels Midland Company**

- The “Companies” may be required to disclose personal information by law or legal process for a variety of reasons, including protecting and defending the rights or property of the “Companies” and periodically reporting trading gains or losses as required by the Internal Revenue Service. The “Companies” may also be required to disclose personal information to the regulatory bodies whose jurisdiction they are subject to.

Except under the circumstances described above, The “Companies” will not disclose any of your personal information to unaffiliated third parties, unless specifically authorized by you in writing to do so. The confidentiality and conditions of this agreement will continue to be maintained even when you cease to do business with the “Companies”.

#### **How the “Companies” Protect Personal Information**

The “Companies” take reasonable measures to protect your personal information from unauthorized access through the use of physical security, and use and access policies for employees. The “Companies” safeguard customer information from unauthorized access by their confidentiality policies and/or limiting the number of employees permitted to access such information through personalized staff passwords, and by having in place a process for disciplinary action where appropriate.

Additionally, customer, or account activity related information is protected on the “Companies” Web sites with a variety of security measures such as change control procedures, passwords, and physical access controls. The “Companies” also employ a variety of other mechanisms to protect a user’s data from being lost, misused, or altered inappropriately. Although the “Companies” take these measures to safeguard against unauthorized use of a user’s data, the “Companies” cannot control Internet transmissions and cannot provide assurances that personal information transmitted to the “Companies” will never be compromised.

#### **Information Sharing with Affiliates of the “Companies”**

Although by law we are permitted to share information with our affiliates and subsidiaries related to our transactions and experiences with you, it is the policy of the “Companies” not to do so without your authorization, except in the limited circumstances referenced above. Accordingly, the “Companies” will not share any personal information either provided by you or obtained from third parties, unless it is necessary to do so for the purposes described above or it is required by law or regulation or unless we have your specific written authorization.

The “Companies” Web site may contain hyperlinks to third parties’ Web sites. This privacy policy does not apply to those third party Web sites. The “Companies” are not responsible for the privacy policies or content of any other Web site its customers visit or link to, nor do the “Companies” have control over the use or security of any information provided to its customers or collected by those Web sites. It is recommended that you become familiar with the privacy policies of those Web sites that you visit or link to.

#### **Accuracy of Personal Information**

On an ongoing basis the “Companies” evaluate their efforts to protect your personal information and ensure its accuracy. Should you identify any inaccuracy in the personal information included in any communication you receive from the “Companies”, **please notify your broker or the ADMIS Compliance Department immediately at 1-800-243-2649**. The “Companies” will take reasonable steps to ensure it is corrected on a timely basis.

**Non U.S. Domiciled Customers: This Notice is provided to you pursuant to the U.S. Commodity Futures Trading Commission (“CFTC”) Regulations. This Notice is to be used for informational purposes only and should be retained in your files. It is not to be returned to ADMIS or your broker.**

**The Notice below does not apply to customers domiciled in the United States of America.**

### **NOTICE TO FOREIGN TRADERS**

This is to notify you of the requirements of Commodity Futures Trading Commission (“CFTC”) Regulation 15.05 and 21.03

#### **Regulation 15.05**

Pursuant to Regulation 15.05, unless otherwise directed in writing ADMIS will serve as the agent for foreign brokers, foreign traders and their foreign customers as it relates to the service of any communication from, or on behalf of, the CFTC, to you. If you already have an existing written agreement designating a U.S. domiciled person as your agent for the purpose of accepting correspondence from a U.S. regulatory authority you must provide ADMIS with the third party agency agreement prior to effecting any futures or options contracts. ADMIS will file the third party agency agreement with the CFTC. The agreement must disclose the agent’s name and mailing address. Accordingly, ADMIS must be promptly notified in the event the agreement expires or is revoked. ADMIS will then notify the CFTC as required.

#### **Regulation 21.03**

Regulation 21.03 provides that the CFTC may request ADMIS to release certain information concerning your account and transactions in your account if the CFTC determines that such information may be relevant in enabling it to determine whether a threat of a market manipulation, corner, squeeze or any other market disorder exists in any contract market. The regulation sets forth the type of information that may be called for to be filed with the CFTC on or before the date specified in the request. Among other things, the information may include matters such as:

- The total open futures and options positions carried in the account.
- The name and address of the account owner. Additionally, if the account is not for an individual, the name of the account contacts.
- The number of futures contracts against which delivery notices have been issued or received and the number against which exchanges of futures for cash have been transacted during a specified period of time.
- Whether the account is carried for another futures commission merchant, clearing member, introducing broker, or foreign trader.
- The name and address of all individuals who control the account; and
- The name and address of any individual or non-individual who has 10% or more beneficial interest in the account.
- Failure to comply with a CFTC request for information may result sanctions; including prohibitions against further trading activities.