

REGULATORY DISCLOSURES

- We collect nonpublic personal information about you from the following sources: Information we receive on applications or other forms and information about your transactions with our affiliates (other financial service providers), others, or us. We do not disclose any non-public information about our current or former customers to anyone, except as permitted by law or in order to provide the current services. Our employees have limited access to your personal information based on their responsibilities to provide products or services to you. Be assured that we maintain physical, electronic and procedural safeguards in compliance with federal standards to protect your information.
- Under the U.S. Patriot Act, we are required to establish and maintain an antimoney laundering program containing policies and procedures to know our customers. To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account. What this means for you: When you open an account, we will ask for your name, address, date of birth and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents.
- The venues to which individual orders were routed are available upon written request.
Additional information related to order routing is available on our web site.
- LAFISE Securities is a member of the Securities Investor Protection Corporation ("SIPC"). You may obtain information about SIPC, including the SIPC Brochure, by contacting SIPC at (202) 372-8300 or www.sipc.org.
- See enclosed summary of our Business Continuity Plan.