



## PRIVACY POLICY

October 19, 2023

### Re: Annual Privacy Notice

Dear Customer:

Nanhua USA LLC and its affiliates (hereinafter referred to as “Nanhua USA”) understand the confidentiality and security of the personal information that you share with us and are committed to providing exceptional client service and ease of mind that your business, financial, and/or personal information is secure. We use reasonable and diligent care to protect your data from loss, misuse, unauthorized access, disclosure, alteration, or destruction. We have created this privacy statement with your privacy and security in mind. This Privacy Statement may be revised from time to time, such modifications shall be effective once posted to our website. The current Privacy Policy in effect can be found on our website at [www.nanhua-usa.com](http://www.nanhua-usa.com).

Pursuant to 17 C.F.R Part 160, Nanhua USA, LLC provides this Notice to our customers. The following information in this Notice summarizes the categories of information that we collect, how that information is handled, and how we protect your information.

### **NANHUA USA DOES NOT SELL OR LICENSE CUSTOMERS’ NONPUBLIC PERSONAL INFORMATION WITH NONAFFILIATED THIRD PARTIES.**

To provide FCM services and to comply with regulatory requirements, including the USA Patriot Act, Nanhua USA collects certain personal, nonpublic information from you (“Personal Information”). This includes information:

- Provided during the account application process (e.g., your social security number, name, e-mail address, telephone number, birth date, bank information, investment objectives, etc.).
- Acquired as a result of the transactions you conduct with Nanhua USA.
- Collected through our website or otherwise.

Personal Information is only collected when you submit it directly, or automatically or indirectly as a result of your relationship with us, or through the use of and access to our services. We and our third-party service providers may use the Personal Information in the following ways:

- To verify your identity;
- To assess your trading experience;
- To establish and maintain your account;
- To assess such things as your risk tolerance;
- To contact you when necessary;
- To complete transactions with or through us;
- To affiliates or third parties that assist us in clearing transactions, processing orders, preparing statements, and other legitimate business purposes.
- As required or permitted by law or regulation, or for the protection of persons and property;
- In relation to a business combination (including acquisition, sale, or merger), restructuring, or transfer involving any or all portions of Nanhua-USA

You, as the customer, are responsible for maintaining the correct information required for trade clearing, trade processing, and trade reporting.

In order to publish content our visitors need and want. Nanhua USA may collect site visitation statistics by using cookies. A cookie-small text file that our web servers may provide to your browser or mobile device while you are on our site. When a user visits our site, a cookie is placed on the visitor's machine (if the visitor accepts cookies) or is read if the visitor has accessed the site previously.

We use this technology as a tool to compile statistics about our website and mobile application usage. We do not share this information with non-affiliated third parties and do not allow other companies to place technology on our site that would collect personally identifiable information unless ordered by a court or at the request of an authorized governmental or quasi-governmental agency.

If you choose not to have your browser accept cookies from the <https://www.nanhua-usa.com/en> or <https://www.nanhua-usa.com/> websites, you will be able to view the text and graphics on the public websites only. Limited-access sites require that the visitor's browser accept cookies.

**Nanhua USA safeguards the confidentiality of your information in several ways:**

- We take substantial precautions to safeguard your personal, nonpublic information. For example, the Nanhua USA FTP Server can be accessed only by authorized Nanhua USA personnel via valid usernames and passwords. In addition, our Internet-based systems include security measures such as encryption and firewalls.
- We restrict access to the personal, nonpublic information that you have shared with us to our employees and affiliates who need to know such information in connection with the services that we provide to you.
- We do not sell, or license lists of our customers or the personal, nonpublic information that you provide to us.
- We maintain strict employee policies that prohibit employees who have access to your personal, nonpublic information from using or disclosing such information except for business purposes.

In addition, our website has security measures in place to protect against the loss, misuse, and alteration of the information under our control. We have security precautions in place to ensure the integrity and confidentiality of our data. We define the individuals or groups authorized to access and/or change data. This prevents unauthorized individuals from accessing, copying, editing, or deleting private data. We also implement an audit system that tracks successful and unsuccessful access to confidential data. This audit information is used to constantly evaluate and refine our security measures, identify individuals who might attempt to inappropriately access data, and take remedial action.

**GENERAL CONTACT INFORMATION**

If you have any questions about this privacy statement, the practices of this site, or your dealings with this Website, please contact us at the following methods:

Email:      [contact@nanhua-usa.com](mailto:contact@nanhua-usa.com)

Address:    30 S. Wacker Dr., Ste 3850, Chicago, IL 60606

Sincerely,

Nanhua USA LLC  
30 S. Wacker Dr., Ste 3850,  
Chicago, IL 60606