



JonesTrading Institutional Services LLC Privacy Policy

How and why we obtain personal information:

JonesTrading Institutional Services LLC (“JonesTrading”) uses personal information collected about you in order to process transactions in your account, respond to inquiries from you or your representative, or to fulfill legal and regulatory requirements. JonesTrading may collect nonpublic personal information about you from any of the following sources:

- From its affiliates JonesTrading International Limited (“JonesTrading International”) and JonesTrading Canada Inc. (“JonesTrading Canada”).
- From you or your representative on applications or forms (for example, name, address, Social Security/Tax Identification number, birth date, assets, income)
- From transactional activity in your account (for example, trading history and balances)
- From other interactions with JonesTrading (for example, discussions with our operations staff)
- From verification services and consumer reporting agencies (to ensure the accuracy of application data, or assess creditworthiness if you apply for credit products)
- From other sources with your consent or with the consent of your representative (for example, from other institutions if you transfer positions to JonesTrading)

How We Protect Your Information:

JonesTrading has always considered the protection of sensitive information to be a sound business practice and a foundation of customer trust. We employ extensive information protection controls in keeping with industry standards and practices, and we regularly adapt these physical, electronic, and procedural controls to respond to changing requirements and advances in technology.

Within JonesTrading and among our service providers, we restrict access to information to those who require that access in order to provide products and services to you. We may share the personal information with the following entities:

- Our affiliates JonesTrading International and JonesTrading Canada
- Unaffiliated service providers (for example, securities clearinghouses)
- Government agencies and law enforcement officials (for example, for tax reporting or under court order)
- Other organizations, with your consent or as directed by your representative (for example, if you use JonesTrading as a financial reference in applying for credit with another institution)
- Other organizations, as permitted by the laws that protect your privacy (for example, for fraud prevention)

Privacy Online

JonesTrading considers privacy, security and service in our online operations to be just as critical as in the rest of our business. We therefore employ all of the safeguards described above, along with the following Internet-specific practices.

JonesTrading uses a variety of proven protections to maintain the security of your online session. For example, we make extensive use of firewall barriers, encryption techniques and authentication procedures. We also use cookies and similar files that may be placed on your hard drive for security purposes, to facilitate site navigation and to personalize the appearance of our site.

When you visit the internet sites hosted by the JonesTrading group of companies, we may collect technical and navigational information, such as computer browser type, Internet protocol address, pages visited, and average time spent on our Web sites. This information may be used, for example, to alert you to software compatibility issues, or it may be analyzed to improve our web design and functionality.