

Updated as of: 3/9/2020

## Privacy Statement

Our privacy policy describes how personal information (“information”) is collected and stored, and the security policies implemented in conjunction with FIF user registration.

### Collection of Personal Information:

The Financial Information Forum (“FIF”) collects information during the new user registration process. Data elements collected during the user registration process include:

- User Name;
- Firm Name;
- Job Title;
- Phone Number;
- Email Address

All information described above is self-reported by the prospective user and collected via a secure electronic form. FIF will not collect any information associated with the user registration process, whether personal or otherwise, in any other form.

### Information Use

Information collected from users will be secured and stored within a secured back-end database. The database conforms to reasonable commercial standards and operational security. The information contained within the database is used for the sole purpose of management of FIF users, including validation that the user is employed by a FIF member firm and for the purpose of working group distribution. The information collected within any and all FIF databases will not be shared with 3<sup>rd</sup> parties unless required by law and will not be sold for commercial purposes under any circumstance.

### Notice to California Residents

The California Consumer Privacy Act of 2018 (“CCPA”) provides California residents with specific rights regarding their personal information. This section describes your CCPA rights and explains how to exercise those rights. If you have any questions about this section or whether any of the following applies to you, please contact us at [fifinfo@fif.com](mailto:fifinfo@fif.com).

Access to Data: You have the right to request certain information about our collection and use of any personal data over the past 12 months, including: 1) the categories of data collected from you; the categories of sources from which personal data was collected; a description of the business purpose of the collection of your personal data.

Deletion: You have the right to request that we delete the Personal Data that we have collected from you.

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Exercising your Rights: To exercise the rights described above, you must send a request that satisfies the following requirements: 1) the request provides sufficient information to allow us to verify that you are the person about whom we have collected Personal Data; and 2) describes your request in sufficient detail to allow us to understand, evaluate, and respond to it. Each request that meets both criteria will be considered a “Valid Request.”

### Information security

We have in place reasonable commercial standards of technology and operational security to protect all personal information provided by clients from unauthorized access, disclosure, alteration or destruction.

### Information retention

We retain personal information for the duration in which the user remains registered with FIF. Information will be permanently deleted from the database upon request during the user offboarding process.

### Rights to access and control your personal information

You have choices about how your personal information is collected, used, and shared. Under applicable law, you may have the right to access or obtain a copy of the personal information that we have collected about you, or to review, modify, delete, or to request that we stop processing such personal information. If you have any questions, please contact us at [fifinfo@fif.com](mailto:fifinfo@fif.com)

Applicable laws may give you the right to lodge a complaint with a local supervisory authority related to this Privacy Policy.

### Collection of Data – CAT Counterparty Contact Utility

The CAT Counterparty Contact Utility (“Utility”) is restricted to current employees of a CAT reporting broker-dealer and requires the requestor (“prospective user”) to first provide FIF with the CAT contact information of at least one point of contact assigned to manage their firm’s CAT error reconciliation process. The information collected and stored within the Utility is limited to the following five (5) data elements:

- Broker Name;
- CAT Contact Name;
- CAT Contact Email;
- CAT Contact Phone Number;
- Firm CRD #

All information described above is self-reported by the prospective user and collected via a secure electronic form. FIF will not collect any information associated with the Utility, whether personal or

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otherwise, in any other form. The aforementioned data collection, storage, retention, and security standards described above apply to the Utility.

### Changes to our Privacy Statement

We may modify or amend this Privacy Policy from time to time at our discretion. When we make changes to this Privacy Policy, we will amend the revision date at the top of this page and such modified or amended Privacy Policy shall be effective as to you and your information as of that revision date. We encourage you to periodically review this Privacy Policy to view any updates.