



MT.COOK
Boutique Brokerage Services



PRIVACY STATEMENT

MT Cook is committed to safeguarding the personal information that you provide us.

MT Cook does not disclose any non-public information about our customers to anyone except as permitted by law.

Personal Information we collect

When you apply for or maintain an account with MT Cook we collect personal information about you for business purposes, such as evaluating your financial needs, processing your requests and transactions, informing you about products and services that may be of interest to you and providing customer service. The personal information we collect about you includes:

- Information you provide to us on application and other forms, such as your name, address, and date of birth, social security number, occupation, assets and income.
- Information about your transactions with us and with our affiliates.
- Information we receive from consumer reporting agencies.
- Information you provide to us to verify your identity, such as a passport, or driver's license, etc.

Confidentiality and Security

We limit access to your personal information to those employees who need to know in order to provide products or services to you. We maintain your account documentation with personal information in physically locked file cabinets. Electronic access to personal information in the system is also limited to New Accounts and Credit personnel. These procedural safeguards are designed to protect your non-public information. We do not rent or sell your name or personal information to anyone.

Disclosure to Non-Affiliated Third Parties

In order to support the financial products and services we provide to you, MT Cook may share the personal information described above with third-party service providers and joint marketers not affiliated with us, including: The AFSL Licensee (MEX Australia Pty Ltd), Companies under contract to perform services for us or on our behalf, such as vendors that prepare and mail statements and transactions confirmations or provide data processing, computer software maintenance and development, transaction processing and marketing services. These companies acting on our behalf are required to keep your personal information confidential.

Also, we may disclose personal information to regulatory authorities as permitted or required by applicable law. For example, we may disclose personal information to cooperate with regulatory authorities and law

enforcement agencies to comply with subpoenas or other official requests, and as necessary to protect our rights or property.