

**FACTS****WHAT DOES OPTIONSXPRESS INC. DO WITH YOUR PERSONAL INFORMATION?**

<b>Why?</b>	Financial companies like optionsXpress can choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires optionsXpress to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.
<b>What?</b>	<p>The types of personal information we collect and share depend on the product or service you have with us. This information can include:</p> <ul style="list-style-type: none"> <li>■ Name, address, contact details</li> <li>■ Your age, occupation and marital status</li> <li>■ Personal Identifier such as, depending on your country of residence, your Social Security Number, National Insurance Number, Tax File Number</li> <li>■ A head and shoulders photograph from, as applicable, your passport, national identity card or driver's license, as required by laws and regulations addressing due diligence and related matters.</li> <li>■ Extensive Financial Information</li> </ul> <p>When you are no longer our customer, we continue to share information about you as described in this notice. We however do not sell your information at any time</p>
<b>How?</b>	optionsXpress shares customers' personal information to run its everyday business. In the section below, we list the reasons optionsXpress Inc. chooses to share and whether you can limit this sharing.

Reasons we can share your personal information	Does optionsXpress share?	Can you limit this sharing?
<b>For our everyday business purposes—</b> such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	<b>Yes</b>	<b>No</b>
<b>For our marketing purposes—</b> to offer our products and services to you	<b>Yes</b>	<b>No</b>
<b>For joint marketing with other financial companies</b>	<b>Yes</b>	<b>No</b>
<b>For our affiliates' everyday business purposes—</b> information about your transactions and experiences	<b>Yes</b>	<b>No</b>
<b>For our affiliates' everyday business purposes—</b> information about your creditworthiness	<b>Yes</b>	<b>Yes</b>
<b>For our affiliates to market to you</b>	<b>Yes</b>	<b>Yes</b>
<b>For nonaffiliates to market to you</b>	<b>Yes</b>	<b>Yes</b>

**To limit our sharing**

- Call **1-888-280-8020**
- Visit us online: **www.optionsXpress.com**
  1. Log into your account select the **“Account”** tab and then **“Profile”**
  2. Make your selections
  3. Click **“Save Changes”**
- Using the **form** below, submit the request in writing to:
 

optionsXpress, Inc.  
Attn: New Accounts Dept.  
P.O. Box 2197  
Chicago, IL 60690-2197

**Please note:**

If you are a *new* customer, we can begin sharing your information 30 days from the date we sent this notice. When you are *no longer* our customer, we continue to share your information as described in this notice. However, you can contact us at any time to limit our sharing.

**Questions?**

Call **1-888-280-8020** or go to **www.optionsXpress.com/privacy**



**Mail-in Form**

Mark any/all you want to limit:

- Do not share information about my creditworthiness with your affiliates for their everyday business purposes.
- Do not allow your affiliates to use my personal information to market to me.
- Do not share my personal information with nonaffiliates to market their products and services to me.

Name	
Address	
City, State, Zip	
[Account #]	

**Mail to:**  
optionsXpress, Inc.  
Attn: New Accounts Dept.  
P.O. Box 2197  
Chicago, IL 60690-2197

## Who we are

<b>Who is providing this notice?</b>	optionsXpress, Inc.
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## What we do

<b>How does optionsXpress protect my personal information?</b>	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.
<b>How does optionsXpress collect my personal information?</b>	We collect your personal information, for example, when you <ul style="list-style-type: none"> <li>■ Disclose information on applications and other forms that you submit to us</li> <li>■ We also collect your personal information from others, such as credit bureaus, affiliates, or other companies</li> </ul>
<b>Why can't I limit all sharing?</b>	Federal law gives you the right to limit only <ul style="list-style-type: none"> <li>■ sharing for affiliates' everyday business purposes—information about your creditworthiness</li> <li>■ affiliates from using your information to market to you</li> <li>■ sharing for nonaffiliates to market to you</li> </ul> <p>State laws and individual companies may give you additional rights to limit sharing.</p>
<b>What happens when I limit sharing for an account I hold jointly with someone else?</b>	Your choices will apply to everyone on your account.

## Definitions

<b>Affiliates</b>	Our affiliated Companies (both financial and non-financial) related by common ownership or control under optionsXpress Holdings.
<b>Nonaffiliates</b>	Companies not related by common ownership or control. They can be financial and nonfinancial companies.
<b>Joint marketing</b>	A formal agreement between nonaffiliated financial companies that together market financial products or services to you.