

Ace Diversified Capital is dedicated to protecting your privacy and providing you with the highest level of service. We want you to understand how we gather and may share customer information at Ace Diversified Capital, the choices you have, and how we protect that information in everything we do.

You Have Choices

You may direct us not to contact you for marketing purposes by:

- Telephone
- Direct mail
- E-mail

You may direct us not to allow Ace Diversified Capital, Inc to share or use information about you in two ways:

- Do not share, with other Ace Diversified Capital companies, credit information about you that we receive from you or others; and
- Limit Ace Diversified Capital companies from marketing their products and services to you based on credit or transaction information about you that they receive from other Ace Diversified Capital companies.

How to Reach Us to Exercise Your Choices

Visit any Ace Diversified Capital, Inc Office.

Call us at 1-626-307-8300 or 1-213-389-2727 to speak to a representative.

You may request a full privacy statement from Ace Diversified Capital, Inc by contacting our office.

Privacy Policy

As your broker/dealer, we take your privacy seriously. It is our policy to respect the privacy of all accounts that we maintain as your broker/dealer and to protect the security and confidentiality of nonpublic personal information relating to those accounts. Please note that this policy applies to former customers as well as current customers.

Personal information Collected

We collect and use nonpublic personal information from our new account forms to help us determine suitability for certain investments and to satisfy the requirements of various regulatory agencies.

The information we collect will be provided to WS, who carries your account as a clearing broker.

The information collected may come from the following sources:

- Information received from you, such as your name, address, telephone number, social security numbers, occupation, and income;
- Information relating to your transactions, including account balances, positions, and activity; and

- Information which may be received from consumer reporting agencies, such as credit bureau reports and other information relating to your creditworthiness.

Sharing of Nonpublic Personal Information

ADC does not disclose nonpublic personal information relating to current or former customers to non-exempt third parties, except as required or permitted by law and in order to facilitate the clearing of customer transactions in the ordinary course of business.

Security

ADC maintains physical and electronic safeguards to protect your nonpublic information. WS also flows appropriate standards of security and confidentiality to ensure that their systems are secure and meet industry standards.