

# FACTS

## WHAT DOES JWTT, Inc. DO WITH YOUR PERSONAL INFORMATION?

### Why?

Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some, but not all, sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.

### What?

The types of personal information we collect and share depend on the product or service you have with us. This information can include:

- Social Security number, driver's license, passport, or other government ID number
- Employment information, account balances, transaction history and credit history
- Income and assets

When you are *no longer* our customer, we continue to share your information as described in this notice.

### How?

All financial companies need to share customers' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' personal information; the reasons JWTT, Inc. ("JWTT") chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does JWTT 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	Yes	No
<b>For our marketing purposes—</b> to offer our products and services to you	Yes	No
<b>For joint marketing with other financial companies</b>	No	N/A
<b>For our affiliates' everyday business purposes—</b> information about your transactions and experiences	No	N/A
<b>For our affiliates' everyday business purposes—</b> information about your creditworthiness	No	N/A
<b>For non-affiliates to market to you – only for registered representatives that leave JWTT</b>  * JWTT has signed the Protocol for Broker Recruiting ("Protocol"), which allows the representative servicing your account to take certain limited information in the event he/she leaves JWTT and joins another firm which has also signed the Protocol. The information is limited to your name, address, email address, and the title of your account(s). If you choose to limit this information, JWTT will notify your representative of your decision to keep this information confidential and that you do not want this information shared by your representative with his/her new firm. We do not otherwise share with non-affiliates for marketing purposes.	Yes*	Yes

### Questions?

Call 971-323-0700 or email [tom@jwttinc.com](mailto:tom@jwttinc.com)

## Who we are

Who is providing this notice?

JWTT, Inc.

## What we do

How does JWTT protect my personal information?

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. We also restrict access to your personal information to those individuals who need to know the information to provide services and/or products to you, or those individuals you have specifically authorized.

How does JWTT collect my personal information?

We collect your personal information, for example, when you

- Open a new account with us and with our clearing firm.
- Provide new account profile information.

Why can't I limit all sharing?

Federal law gives you the right to limit only

- sharing for affiliates' everyday business purposes—information about your creditworthiness
- affiliates from using your information to market to you
- sharing for non-affiliates to market to you

State laws and individual companies may give you additional rights to limit sharing. See below for more on your rights under state law.

## Definitions

**Affiliates**

Companies related by common ownership or control. They can be financial and nonfinancial companies.

- We do not currently have affiliated companies

**Non-affiliates**

Companies not related by common ownership or control. They can be financial and nonfinancial companies.

- Our non-affiliated business partners include Apex Clearing Corporation
- Can include the new firm of the registered representative servicing your account.

**Joint marketing**

A formal agreement between non-affiliated financial companies that together market financial products or services to you. We have no joint marketing agreements.

**To Limit our Sharing**

- Call 971-323-0700 and ask to speak to Compliance; email [tom@jwttinc.com](mailto:tom@jwttinc.com)
- Mail the form on the next page

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

## Other important information

**California:** In accordance with California law, we will not share information we collect about you with companies outside of JWTT, unless the law allows. For example, we may share information to service your accounts. If we have affiliated companies in the future, we will limit sharing among our companies to the extent required by California law. We collect personally identifiable information from online customers when those customers choose to enter their personal information while using JWTT's web sites and/or online services (including mobile applications). This information includes, but is not limited to, customer names, e-mail and mailing addresses, phone numbers, and social security numbers. JWTT does not collect personally identifiable information from general online site visitors unless those consumers unilaterally opt to provide personally identifiable information to JWTT. JWTT also does not share personally identifiable information with third-party persons or entities unless authorized by the customer. If JWTT's online customers wish to change the contents of the personally identifiable information previously supplied to JWTT, those customers may do so by contacting their local JWTT entity branch office and requesting the change. Alternatively, some web sites and online services offered by JWTT permit customers to change the contents of their personally identifiable information online. As stated above, JWTT does not collect personally identifiable information about individual consumers unless those consumers choose to provide such information. We are aware that some internet browsers have incorporated Do Not Track ("DNT") features. Most of these features, when turned on, send a signal or preference to the web sites you visit indicating that you do not wish to be tracked. Because JWTT does not collect personally identifiable information unless the online customer voluntarily submits it, and because of a lack of industry standard, JWTT does not currently respond to DNT signals, whether on its web sites or other online services. JWTT does not allow other parties to collect personally identifiable information about its online customers' individual online activities over time or across different web sites. JWTT cannot, however, guarantee protection from web-based criminal conduct that could result in the collection of an online customer's personally identifiable information by an outside party.

## Mail-In Form

### Leave blank **OR**

If you have a joint account, your choice will apply to everyone on your account unless you mark below:

☐ **Apply my choices only to me**

### Mark if you wish to limit:

☐ Should my registered representative leave JWTT, Inc., do not share my information with my registered representative's new firm or permit my registered representative to maintain or retain copies of my information.

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City, State ZIP: \_\_\_\_\_

### Mail to:

JWTT, Inc.  
Attn: Compliance  
1231 NW Hoyt Street Suite 206  
Portland, OR 97209