



P. 971-323-0700 | www.jwttinc.com
1231 NW Hoyt Street, Suite 206, Portland, OR 97209

IMPORTANT DISCLOSURES

Privacy Policy

We take your privacy seriously and work hard to earn your trust. Please see our Privacy Policy for details about how we protect your personal information.

Business Continuity Notice

Please see our Business Continuity Planning Statement.

Risks of Extended Hours Trading

Please see our notice concerning the risks of trading outside of normal business hours.

Important Information About Procedures for Opening a New Account

The USA PATRIOT Act requires financial institutions to maintain comprehensive anti-money laundering programs. To help the government fight the funding of terrorism and money laundering activities, federal law requires all financial institutions to obtain, record, and verify the information that identifies each person who opens an account. **What this means to you:** when you open an account, we will ask for your name, address, date of birth, and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying document. Persons designated by the United States Office of Foreign Asset Control (OFAC) as Specially Designated Nationals, residents of restricted countries, or employees of foreign governments or their agents may not open accounts at Apex Clearing Corporation.

SIPC Information

JWTT is a member of SIPC. You may obtain information about the Securities Investor Protection Corporation (SIPC), including the SIPC brochure, by visiting SIPC's website at <https://sipc.org>. You may also contact SIPC by telephone at (202) 371-8300.

Payment for Order Flow

JWTT is required to disclose its policies concerning payment for order flow to all new clients and annually thereafter. JWTT receives payment for order flow for directing customer orders in equity securities. As a market maker, JWTT frequently executes orders on a principal basis and stands to profit from these orders. These principal trades are not subject to payment for order flow. In other cases, however, the firm will route orders for execution to other market centers or exchanges. While we do not have specific agreements that require us to route to any venue, we do receive payments related to liquidity rebates (or are assessed liquidity charges) from market centers to which we route orders. Liquidity rebates are considered payment for order flow, even if they don't offset our liquidity charges related to order flow from the various market centers. The fees we receive vary by venue and generally range between .001 and .0031 per share. For any execution, customers are entitled to receive upon request: the venue where the order was executed and whether JWTT received a net rebate from that venue.

JWTT generally makes all order routing decisions, rather than taking routing instructions from the customer. We execute client orders based on which market center will provide the best execution price at the time, not on whether we receive payment for order flow.

Investor Concerns

Should you ever have concerns about your relationship with JWTT, or wish to register a complaint, please contact our Compliance Department by emailing compliance@jwttinc.com or calling (971) 323-0700.