



## Privacy Notice

FACTS	WHAT DOES SOGOTRADE DO WITH YOUR PERSONAL INFORMATION?
<b>Why?</b>	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.
<b>What?</b>	<p>The types of personal information we collect and share depend on the product or service you have with us. The information can include:</p> <ul style="list-style-type: none"> <li>• Name, address, social security or tax identification number, date of birth, income, net worth, investment experience, risk tolerance, investment objectives, and other personal and financial information contained in our application process.</li> <li>• Information about your money transfers, trading, and other activity involving your SogoTrade account(s).</li> <li>• Information you provide to us about your external financial accounts during the course of opening and maintaining your SogoTrade account(s).</li> <li>• IP address, device details, browser type, and other technical information gathered when visiting our websites or when using our trading platforms or mobile applications, including the usage of cookies or other electronic tracking methods.</li> </ul>
<b>How?</b>	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 SogoTrade chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does SogoTrade 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	We don't share

<b>For our affiliates' everyday business purposes</b> – information about your transactions and experiences	Yes	No
<b>For our affiliates' everyday business purposes</b> – information about your creditworthiness	Yes	Yes
<b>For our affiliates to market to you</b>	Yes	Yes
<b>For nonaffiliates to market to you</b>	No	We don't share

<b>To limit our sharing</b>	<p>To limit our sharing you may:</p> <ul style="list-style-type: none"> <li>• Call us at 1-646-885-6594 – our menu will prompt you through your choices.</li> <li>• Visit us online at <a href="http://www.sogotrade.com">www.sogotrade.com</a>;</li> <li>• Email us at <a href="mailto:services@sogotrade.com">services@sogotrade.com</a>.</li> </ul> <p><b>Please note:</b></p> <p>If you are a <i>new</i> customer, we can begin sharing your information 30 days from the date we sent this notice. When you are <i>no longer</i> 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.</p>
<b>Questions?</b>	Call us at 1-646-885-6594 or go to <a href="http://www.sogotrade.com">www.sogotrade.com</a> .

<b>Who we are</b>	
<b>Who is providing this notice?</b>	SogoTrade is a registered broker-dealer that supports investing in equities, ETFs, options, fixed income, and cryptocurrency.
<b>What we do</b>	
<b>How does SogoTrade 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 SogoTrade collect my personal information?</b>	<p>We collect your personal information, for example, when you</p> <ul style="list-style-type: none"> <li>• Open an account or give us your financial or other personal information;</li> <li>• Access your account online or through a mobile application; and</li> <li>• Deposit or withdrawal money or securities from your account.</li> </ul>

	We also collect your personal information from others, such as SogoTrade Asset Management, our affiliated registered investment advisor.
<b>Why can't I limit all sharing?</b>	<p>Federal law gives you the right to limit only:</p> <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; and</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>	<p>Companies related by common ownership or control. They can be financial and non-financial companies. Our affiliates include:</p> <ul style="list-style-type: none"> <li>• SogoTrade Asset Management, a registered investment advisor.</li> </ul>
<b>Nonaffiliates</b>	<p>Companies not related by common ownership or control. They can be financial and non-financial companies. Relevant non-affiliate companies include:</p> <ul style="list-style-type: none"> <li>• Apex Clearing Corp., SogoTrade's clearing firm.</li> </ul>
<b>Joint marketing</b>	<p>A formal agreement between non-affiliated financial companies that together market financial products or services to you.</p> <ul style="list-style-type: none"> <li>• SogoTrade does not currently conduct joint marketing.</li> </ul>

Other important information
You may review our privacy policy at <a href="https://www.sogotrade.com/privacy-policy.aspx">https://www.sogotrade.com/privacy-policy.aspx</a> for more information.