

# Reid & Associates LLC Privacy Policy

Reid & Associates LLC is committed to your financial well being, and protecting the privacy and security of the information you share with us is part of that commitment. You trust us with your personal and financial information, and we'll honor that trust by using your information carefully and sensibly. This notice will help you understand how we safeguard and use information.

## Security Standards

We continually update and improve our security standards and procedures to help us protect against anyone gaining unauthorized access to your confidential information, including through the Internet. Additionally, we build checks and balances into procedures - when opening accounts, for example - so that we can properly identify clients. Only those persons who need to do so as part of their job responsibilities are authorized to have access to your information. Our employees are trained on privacy and information security, and on their obligations to protect your information.

You can also help safeguard your personal and financial information by taking a few simple precautions:

- Never disclose confidential information to unknown callers. Your financial consultant from Reid & Associates, LLC will identify himself or herself first to you before asking any personal or financial questions.
- When transacting business on the Internet, be sure to use a secure browser and current virus-detection software.
- Never open e-mail from unknown sources

## The Information We Use to Better Serve You

As you use your account(s), we gather information about account balances and other brokerage activity. We use this information to maintain balances and to help us provide efficient client service.

If you access your account online (via the Internet), we may collect site navigation, client contact, and optional survey information. We use this information to personalize our online services

- for example, to customize your Web experience by displaying content designed to meet your specific needs. For a more detailed description of our online services, visit us at

## The Information We Share with Other Companies

Like many financial institutions, we outsource some of our work to other companies in order to perform business operations for us to provide services like statement printing and trade confirmations. We're highly selective in choosing these companies, and we restrict the information we provide them to only what they need to do their job. We require them to comply with strict standards of security and confidentiality. They are not permitted to release this information, use it for their own purposes, or transfer it to any other party.

To enable them to maintain accurate shareholder records, we also periodically report to the companies whose shares you own the fact that you are a shareholder. We do not sell client lists or individual client information, nor do we make your information available for use by unaffiliated third parties. We will only exchange certain information about our clients with selected credit reporting agencies when it's legally required (such as in response to a subpoena) and to prevent fraud or to comply with a legally permitted inquiry by a government agency or regulator.

## How You Can Help Protect Your Privacy

- Do not share your account information, passwords, userids, code words, or other confidential information with other.
- Do not provide confidential information by telephone to unknown callers.
- Protect and properly dispose of your account records.

## Maintaining Accurate Information

We strive to maintain complete and accurate information about you and your account(s). If you ever believe that our records contain inaccurate or incomplete information about you, please let

us know immediately. We'll correct any inaccuracies as quickly as possible.

## Identity Theft Assistance

If you believe you are a victim of fraud or identity theft:

- Please contact your financial consultant for assistance, which may include placing holds on your accounts.
- Report the incident as quickly as possible to any one of the credit reporting agencies:
  - o **Experian 888-397-3742**
  - o **Equifax 800-685-1111**
  - o **Trans Union 800-916-8800**

•You should review a current credit bureau report to identify any unauthorized accounts or inquiries and ask the credit reporting agency about placing a Victim Alert Flag on your files.

•File a complaint with the Federal Trade Commission (FTC) by contacting the FTC's Identity Theft Hotline at 877-IDTHEFT

## Contact Us With Any Questions Or Concerns

If you believe we have reported inaccurate information about your account to any consumer reporting agency, please let us know in writing.

Be sure to include your complete name, current address, social security number, telephone number, account number, type of account, specific item of dispute, and the reason you believe the information is wrong. We will investigate your concern and correct any inaccuracies we find. Send your notice to:

Compliance Officer  
Reid & Associates LLC  
14 Computer Drive East  
Albany, NY 12205

Reid & Associates LLC, member NASD/SIPC, acts as an introducing brokerage firm.

Accounts carried by First Clearing LLC, member NYSE/SIPC

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