

✧ Vision Account Application

Anti-Money Laundering Policy

IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT

Vision Financial Markets LLC ("Vision") recognizes that the USA PATRIOT Act, as amended from time to time (the "Act"), imposes important obligations on all financial firms for the detection, deterrence and reporting of money laundering activities. It has established the following policies to ensure compliance with all laws and regulations regarding money laundering.

Prior to the opening of any new account, Vision will document the identity, nature of business, income, source of funds, and investment objectives of each prospective customer. Therefore, we will request your driver's license, passport or other identifying documents.

On an on-going basis, Vision will review account activity for evidence of transactions that may be indicative of money laundering activities. Every officer, employee, and associated person of Vision is responsible for assisting in the firm's efforts to uncover and report any activity that might constitute, or otherwise indicate or raise suspicions of, money laundering. To this end, Vision provides continuing education and training of all such persons.

Vision will comply with all trade and economic sanctions imposed by the U.S. Office of Foreign Assets Control against targeted foreign countries and shall cooperate fully with government agencies, self-regulatory organizations and law enforcement officials. As provided by the Act, Vision may supply information about former, current or prospective customers to such bodies.

Privacy Policy

Maintaining the privacy of your personal information is of utmost importance to us. In order to provide services to you, we must maintain certain information about you that we collect from account applications or other forms that you complete, transactions that you conduct, communications with us and our affiliates, and information we receive from third parties such as credit reporting agencies.

We restrict access to your non-public personal information to those employees who need to know that information to provide services to you, and to service providers who are involved in providing products and services to our customers. We maintain physical, electronic and procedural safeguards to protect your personal information. These safeguards include limiting access to data and periodically testing our security technology.

It is our policy not to disclose your personal information to unaffiliated third parties except as required or permitted by law, as requested by you or as follows: in response to a subpoena, to prevent fraud, to comply with inquiries from government agencies or other regulators, for other legal purposes, to others that service your account or that perform services on our behalf, to others with whom we may have joint marketing agreements (including financial services companies), to financial services providers (including introducing brokers, broker/dealers, futures commission merchants, investment companies, investment advisers, commodity trading advisers and commodity pool operators), to publishers and other direct marketers of products related to the financial services industry (including newsletter or book publishers and software or trading system developers), and to other unaffiliated third parties with your consent, at your request or as permitted or required by law.

If you prefer that Vision not disclose non-public personal information about you to unaffiliated third parties, you may opt out of those disclosures by sending us an e-mail at: optout@visionfinancialmarkets.com.

If your account is introduced to Vision by a correspondent broker, you should be aware that the privacy policy and practices of your correspondent brokerage firm may be different from that of Vision, which will be the clearing firm for your account. Therefore, please read the privacy policy of your correspondent broker for important privacy information as it relates to you as a their customer.

You are welcome to contact our Customer Service Team at 800.440.6898 if you have any questions regarding our Privacy Policy. We reserve the right to revise our Privacy Policy and will provide you notice of any revisions.