

本隐私声明规定了 TD Ameritrade, Inc. (“德美利证券”) 及其部门和 TD Ameritrade Holding Corporation 及其公司, 包括 TD Ameritrade investment Management, LLC 在内, (每个称为“德美利证券关联公司”; 合称为“德美利证券”、“我们”、“我方”或“我们的”) 如何在中华人民共和国(下称“中国”) 境内处理个体的个人信息。TD Ameritrade Holding Corporation 是 Charles Schwab Corporation 的全资子公司。

中国境内的个人可通过 privacy@schwab.com 联系我们, 行使本隐私声明所述的各项权利。

继续浏览我们的网站或使用我们的产品和服务, 即表明您明确同意我们依照本隐私声明的各项条款来处理您的个人信息(其中包括我们处理下面重点说明的您的敏感个人信息)。

收集和处理的个人信息

根据您所使用的产品和服务, 一家或多家德美利证券关联公司会从您那里收集个人信息并对其进行处理。某些德美利证券关联公司位于中国境外。此类个人信息包括: 详细联系信息以及验证您身份所需的其他信息; 互联网或其他网络活动信息; 履历信息, 包括职业和就业信息; 提供您所要求的产品和服务所需的信息; 以及根据适用法律我们需要获得的信息。

一家或多家德美利证券关联公司还可能收集有关您的以下类别的敏感个人信息: 财务和商务信息以及位置跟踪信息。我们收集和处理的财务和商务信息以及位置跟踪信息是为了向您提供产品和服务以及遵守适用法律所必需的, 而您关于我们处理这些以及其他个人信息的权利在本隐私声明中有所说明。

我们还可能通过其他合法来源(包括从我们的服务提供商和公开可获得来源处) 获取有关您的个人信息, 以协助我们验证您的身份、向您提供我们的产品和服务, 以及遵守适用法律。

个人信息处理的依据和目的

以下情况时我们会收集和处理的个人信息: 为履行与您所签订的合同而必要时, 为了在与德美利证券签订合同之前应您的要求采取措施, 已征得您的同意, 以及/或者为了遵守适用法律。

如需有关我们在美国的隐私做法的更多信息, 请通过 tdameritrade.com/security/privacy.html 查看我们的德美利证券隐私条例。

共享个人信息

我们可能会将您的个人信息与受委托方共享, 以改进我们向您提供的产品和服务, 并帮助我们开展业务。

我们的受委托方提供: (a) 供应商服务, 以便促进和支持我们所提供的产品和服务; (b) 专业服务, 例如审计、会计和税务服务; (c) 公关服务, 包括培训和发展服务; (d) 营销和促销活动服务; (e) 市场数据和研究; (f) 网络平台支持服务; (g) 行政服务, 例如打印和邮寄; 以及 (h) 法律、政府和监管支持。这些受委托方维持相关流程和/或遵守相关合同义务, 这些义务规定应对个人信息采取保护措施, 并仅在合同规定的期限内将个人信息用于分享和保留这些信息的目的。

此外, 为遵守适用法律, 我们可能还会与政府机构和监管机构分享与以下事项有关的您的个人信息: 合并、收购、公司重组, 或者德美利证券关联公司全部或几乎全部资产的出售。我们将在出现此类情况时告知您, 除非适用法律另有规定。

个人信息的安全

我们使用各种技术、行政和物理控制措施保护您个人信息的机密性、完整性和可用性。如需有关德美利证券信息安全性的更多信息, 请访问 tdameritrade.com/security.page。

信息存储期限

我们处理和存储个人信息的期限为向您提供我们产品和服务所需的期限, 或者适用法律规定的其他期限。

您的权利

关于您的个人信息, 您拥有某些权利。您可以行使或提出适用法律所允许的权利, 提出有关我们使用您个人信息的问题, 或者通过在本隐私声明开篇处所提供的沟通方式联系我们, 提出其他问题或争议。

- 访问和解释。**您有权获得访问您个人信息的权限, 并要求解释相关处理规定。
- 更正。**您有权要求对不正确、不准确或不完整的个人信息进行更正。
- 删除。**您有权要求删除您的个人信息。
- 处理限制。**您有权要求在特定情况下限制对您的个人信息进行处理。
- 反对处理。**您有权反对出于营销目的或基于与您特定情况相关的理由而对您的个人信息进行处理。
- 可携带性。**您有权以机器可读的格式收到您的个人信息, 并将其发送给另一个人信息处理者。
- 撤回同意。**您有权撤回同意。
- 向相关机构提出申诉。**如适用, 您有权向中国境内的相关机构提出申诉。
- 适用法律规定的其他权利。**

更新

我们可能不时更新或变更本隐私声明, 恕不提前通知。如果任何新的隐私声明生效, 我们将会在我们的网站上予以发布。当我们做出变更时, 我们将更新位于本页面底部的“生效日期”。对本隐私声明的任何变更一经发布将立即生效。

生效日期: 2021 年 11 月 1 日。

People's Republic of China Privacy Notice

This Privacy Notice describes how TD Ameritrade, Inc. ("TD Ameritrade") and its divisions and TD Ameritrade Holding Corporation and its family of companies, including TD Ameritrade Investment Management, LLC, (each a "TD Ameritrade affiliate"; together, "TD Ameritrade," "we," "us," or "our") processes the personal information of individuals in the People's Republic of China ("P.R.C."). TD Ameritrade Holding Corporation is a wholly owned subsidiary of The Charles Schwab Corporation.

Individuals in the P.R.C. may exercise the rights outlined in this Privacy Notice by contacting us at privacy@schwab.com.

By continuing to browse our website or use our products and services, you explicitly consent to our processing of your personal information (including, separately, our processing of your sensitive personal information as highlighted below) according to the terms of this Privacy Notice.

Personal Information Collected and Processed

Depending on the products and services that you use, one or more of the TD Ameritrade affiliates collects and processes personal information from you. Certain of these TD Ameritrade affiliates are located outside of the P.R.C. Such personal information includes contact details and other information necessary to verify your identity; internet or other network activity information; biographical information, including professional and employment information; information necessary to provide products and services that you request; and information that we are required to obtain under applicable laws.

One or more of the TD Ameritrade affiliates also may collect and process the following categories of sensitive personal information about you: financial and commercial information, and location tracking information. Our collection and processing of financial and commercial information and location tracking information is necessary to provide products and services to you and to comply with applicable laws, and your rights regarding our processing of this and other personal information are described in this Privacy Notice.

We also may obtain personal information about you from other legitimate sources, including from our service providers and publicly available sources, to assist us in verifying your identity, providing our products and services to you, and complying with applicable laws.

Basis for and Purposes of Personal Information Processing

We collect and process your personal information when necessary for the performance of a contract with you, to take steps at your request prior to entering into a contract with TD Ameritrade, with your consent, and/or to comply with applicable laws.

For further information about our privacy practices in the U.S., please review our TD Ameritrade Privacy Statement at tdameritrade.com/security/privacy.html.

Sharing of Personal Information

We may share your personal information with entrusted parties to improve the products and services that we provide to you and to help us conduct our business.

Our entrusted parties provide: (a) vendor services to facilitate and support the products and services we provide; (b) professional services, such as audit, accounting, and tax services; (c) public relations, including education and development services; (d) marketing and promotional event services; (e) market data and research; (f) network platform support services;

(g) administrative services, such as printing and mailing; and (h) legal, governmental, and regulatory support. These entrusted parties maintain processes and/or are subject to contractual obligations that require the personal information to be safeguarded and only used for the purposes for which it was shared and retained for the contracted period.

Additionally, we may share your personal information in connection with a merger, acquisition, corporate reorganization, or the sale of all or substantially all the assets of a TD Ameritrade affiliate, and with government authorities and regulators to comply with applicable laws. We will notify you when such circumstances arise unless otherwise permitted by applicable law.

Security of Personal Information

We use technical, administrative, and physical controls to protect the confidentiality, integrity and availability of your personal information. To learn more about information security at TD Ameritrade, please visit tdameritrade.com/security.page.

Information Storage Period

We process and store personal information for as long as is required to provide our products and services to you, or as otherwise required by applicable laws.

Your Rights

You have certain rights with respect to your personal information. You can exercise or address these rights as allowed under applicable law, ask questions about our use of your personal information, or raise other issues or disputes by contacting us through the communication method provided at the beginning of this Privacy Notice.

- 1. Access and Explanation.** You have the right to obtain access to your personal information and explanation of the rules for processing.
- 2. Correction.** You have the right to ask that your personal information that is incorrect, inaccurate, or incomplete be corrected.
- 3. Deletion.** You have the right to request that your personal information be deleted.
- 4. Restriction on processing.** You have the right to request the restriction of the processing of your personal information in specific cases.
- 5. Objection to processing.** You have the right to object to the processing of your personal information for marketing purposes or on grounds relating to your particular situation.
- 6. Portability.** You have the right to receive your personal information in a machine-readable format and to send it to another personal information processor.
- 7. Withdrawal of consent.** You have the right to withdraw consent.
- 8. Lodging a complaint with the relevant authorities.** You have the right to lodge a complaint, as applicable, with the relevant authorities of the P.R.C.
- 9. Other rights under applicable laws.**

Updates

We may update or change this Privacy Notice from time to time without advance notice. Should any new Privacy Notice go into effect, we will post it on our website. When we make changes, we will update the "Effective Date" at the bottom of this page. Any changes to this Privacy Notice will become effective when posted.

Effective Date: November 1, 2021.