OMNI BROKERAGE PRIVACY POLICY AND SECURITY STATEMENT

Your Privacy is Important

This Privacy Policy and Security Statement describes how we protect your personal and financial information that we collect in the course of providing our financial services.

Information We Collect

We collect nonpublic personal information about you from the following sources:

- Information gathered from applications, forms and other information you provide us (for example, your name, address, social security number, assets, liabilities, and income);
- Information about your investments and your account experience, including account balances, trading activity, and payment history;
- Information from consumer reporting agencies regarding your creditworthiness and credit history; and
- Information from other outside sources regarding their employment, credit, or other relationship with you, or verifying representations made by you to them, such as your employment history, loan, or credit card balances, etc.

Information We Disclose and To Whom We Disclose Information

OMNI **does not** disclose any nonpublic personal information about our customers or former customers to anyone, except as permitted by law.

For example, we disclose information, as permitted by law, to nonaffiliated companies that work for us in providing financial services to you. These companies include those who prepare statements of your account, transaction confirmations, and credit reports. These companies are required to sign strict confidentiality agreements with OMNI.

In addition, we disclose information, as permitted or required by law, to government and regulatory agencies such as the Securities and Exchange Commission (SEC) and the Internal Revenue Service (IRS). We will make disclosures to comply with a legal summons, court order, subpoena or similar legal process, a fraud investigation, audit, or examination.

Finally, we are permitted to disclose information if you have provided your consent.

OMNI does not sell or rent personal information to any third party.

Confidentiality and Security Procedures

We restrict access to nonpublic personal information about you to those employees who need to know such information to provide services to you. We maintain physical, electronic, and procedural safeguards that comply with federal regulations to guard your nonpublic personal information.

OMNI will provide notice of our privacy policy annually, as long as you maintain an account with us. OMNI reserves the right to make changes to this policy. You can always review our current policy by contacting us for a copy at (801) 553.1031.