



1021 N. Sepulveda Blvd. Suite J  
Manhattan Beach, California 90266

### **Empire Futures Group, LLC Privacy Policy**

At Empire Futures Group, LLC, we value our customers, and maintaining customer trust and confidence is our highest priority. While it is necessary that we obtain accurate and current information about our customers in order to provide the highest level of customer service, we are dedicated to protecting the privacy and confidentiality of our customers' information.

Empire Futures Group, LLC will never sell your personal information to anyone. We will not use or distribute your personal information in any way without prior notification to you. We promise that we will uphold the privacy policies and procedures as set forth below.

#### **Information We Collect About Our Customers**

The personal information we collect from you comes from information you supply to us in account opening applications (whether written or electronic), or in other forms you may provide to us. This information may include:

1. Your name, address, date of birth, occupation, social security number or tax identification number, and financial information about you such as net income, net worth, and financial institutions you currently do business with or have done business with in the past. At times, you may be requested to provide Empire Futures Group, LLC with verification data such as a copy of a passport, driver's license and a utility bill.
2. Information regarding your transactions with us including your trading history at Empire Futures Group, LLC, copies of checks, your history of meeting margin calls or your use of the various services and products that we provide.
3. Information about your credit history and information we may receive from our clearing firms or consumer reporting agencies.

"Cookies" are small text files consisting of encrypted information assigned to a computer's browser. Cookies do not collect or transmit your personal information. For users of the non-public areas of our website or electronic trading platforms that require a User ID or password, Empire Futures Group, LLC may use cookies to identify you so that you do not have to input your password multiple times as you navigate our site. Empire Futures Group, LLC may also use cookies for administrative purposes, such as to maintain security on our site.

#### **Information We May Share About Our Customers**

At this time, Empire Futures Group, LLC does not have affiliated entities. If Empire Futures Group, LLC were to have affiliated entities in the future, Empire Futures Group, LLC does not expect to share information with affiliates unless required to by law.



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In order to support the financial products and services we provide to you, we may share the personal information described above with third party service providers and joint marketers not affiliated with us, including:

- Unaffiliated service providers including but not limited to securities clearinghouses, futures commission merchants, marketing firms, legal and accounting firms, compliance firms, and other entities who may provide services at the discretion of Empire Futures Group, LLC in order for us to provide the services to you.
- Companies under contract to perform services for us or on our behalf such as vendors that prepare and mail statements and transaction confirmations or provide data processing, computer software maintenance and development, transaction processing and marketing services. These companies acting on our behalf are required to keep your personal information confidential.

Also, we may disclose personal information with non-affiliated companies and regulatory authorities as permitted or required by applicable law. For example, we may disclose personal information to cooperate with regulatory authorities and law enforcement agencies to comply with subpoenas or other official requests, and as necessary to protect our rights or property. We may also disclose personal information as necessary to perform credit checks, collect debts, enforce our legal rights or otherwise protect our interests and property. Except as described in this privacy policy, we will not use your personal information for any other purpose unless we describe how such information will be used at the time you disclose it to us or we obtain your permission to do so.

Only authorized Empire Futures Group, LLC employees or agents will have access to your personal information. All employees, clearing brokers and service providers are held to the highest standards of privacy and security. Each of the entities and service providers are obligated to keep the personal information we share with them confidential and use it only to provide services specified by Empire Futures Group, LLC. Empire Futures Group, LLC has prudent procedures in place to ensure that all customer information is kept confidential.

If this privacy policy changes, you will be notified through the Empire Futures Group, LLC website or in other appropriate ways. Empire Futures Group, LLC is committed to protecting the privacy of its customers. Each customer will be notified if Empire Futures Group, LLC begins to share customer information and have an opportunity to opt out.