

PRIVACY NOTICE

THIS NOTICE IS FOR YOUR INFORMATION, NO RESPONSE IS REQUIRED.

Louis Capital Markets (LCM), a broker dealer believes in protecting the confidentiality and security of information we collect about you. This notice describes our privacy policy and describes how LCM treats the information we receive about our customers.

Why We Collect and How We Use Information: We collect and use information for business purposes in connection with business relationships involving our customers. This information is used in evaluating a request for products or processing transactions requested by our customers.

How We Collect Information: LCM obtains most of its information directly from its customers when opening an account; such information may include financial, employment or other personal information. We may need additional information, which may be obtained from third parties.

How We Protect Information: LCM employees and registered persons are required to protect the confidentiality of customer information. All customer information is treated in a confidential manner and therefore, LCM has established physical, electronic and procedural safeguards to protect customer information.

Information Disclosure: In conducting our business, information about our customers will not be disclosed to anyone, except where disclosure of information is required by law. This includes information disclosure for audit purposes or to law enforcement or regulatory agencies.

Access to and Correction of Information: LCM will make available information for review by a customer upon written request. Information collected in connection with any claim or legal proceeding will not be made available. LCM will review any information in which a customer states is incorrect, and if applicable, the customer records will be revised. If LCM does not agree, a customer may submit a statement of dispute, which will be included in any future information disclosure.

Further Information: The Gramm-Leach-Bliley Act established privacy standards and requires LCM to provide this summary of our privacy policy. For additional information regarding our privacy policy, please contact us in writing at 500 Fifth Avenue, Suite 2010, New York, NY 10110