



# 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](mailto: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](https://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](https://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.