

Privacy Policy

The following describes how JH Darbie handles your personal information and what steps we take to protect your privacy. Your personal information is not offered or sold to marketers or otherwise used by third parties for marketing purposes.

Who we are

JH Darbie & Co., Inc. is a registered broker dealer with the Financial Industry Regulatory Authority (www.finra.org). Our customer accounts are cleared on a fully disclosed basis by Penson Financial Services, Inc.

Accessing Information

Access to customer information is authorized for JH Darbie ' business purposes only. It is based on our need to know such information in order to conduct business with you and to provide products and services to you. JH Darbie requires its account executives and all other employees having access to such information to protect it and keep it strictly confidential.

Collecting Information to Conduct Business

JH Darbie collects your personal information in order to comply with the "know your customer" regulations of the securities industry and to provide appropriate customer service to fulfill your financial needs and investment objectives. Collected information includes:

- Information required on your new account application form and related forms, such as name, address, Social Security number, net worth and income;
- Information regarding your transactions, holdings and payment history;
- Any other information required by industry standards or regulations in order to properly service or maintain your account.

Security Standards

JH Darbie takes certain measures in order to safeguard your personal information. Such measures include physical, electronic and procedural safeguards.

Sharing Information

In that COR Clearing LLC is our clearing broker and carries your account on its books on our behalf; your information is provided to COR Clearing LLC and is maintained in its computer system and files. Also, we provide customer information to industry regulators and government agencies as well as to credit information and collection agencies when warranted in the normal course of business. We also respond to subpoenas and may provide customer information to others on a need to know basis for business purposes.