

WHAT DOES LEERINK SWANN DO WITH YOUR PERSONAL INFORMATION?



LEERINK SWANN

Why?	Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.	
What?	<p>The types of personal information we collect and share depend on the product or service you have with us. This information can include:</p> <ul style="list-style-type: none"> ■ Social Security number and account number ■ Address and telephone number ■ Name and address 	
How?	All financial companies need to share customers' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' personal information; the reasons Leerink Swann chooses to share; and whether you can limit this sharing.	
Reasons we can share your personal information		
	Does Leerink Swann Share?	Can you limit this sharing?
For our everyday business purposes — such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	YES	NO
For our marketing purposes — to offer our products and services to you	YES	NO
For joint marketing with other financial companies	NO	YES
For our affiliates' everyday business purposes — information about your transactions and experiences	YES	YES
For our affiliates' everyday business purposes — information about your creditworthiness	YES	YES
For our affiliates to market to you	YES	YES
For nonaffiliates to market to you	YES	YES
To limit our sharing	<ul style="list-style-type: none"> ■ Call 800-808-7525 and ask for the Chief Compliance Officer ■ Visit us online: www.leerink.com/contact-us.aspx ■ Mail in the form below <p>Please note: If you are a <i>new</i> customer, we can begin sharing your information 30 days from the date we sent this notice. When you are <i>no longer</i> our customer, we continue to share your information as described in this notice. However, you can contact us at any time to limit our sharing.</p>	
Questions?	Call 800-808-7525 or go to www.leerink.com/contact-us.aspx	

Mail-in Form

	<p>Mark any/all you want to limit:</p> <p><input type="radio"/> Do not share information about my creditworthiness with your affiliates for their everyday business purposes</p> <p><input type="radio"/> Do not allow your affiliates to use my personal information to market to me</p> <p><input type="radio"/> Do not share my personal information with nonaffiliates to market their products and services to me</p>						
	<table border="1" style="width: 100%;"> <tr> <td style="background-color: #e0e0e0;">Name</td> <td></td> </tr> <tr> <td style="background-color: #e0e0e0;">Address</td> <td></td> </tr> <tr> <td style="background-color: #e0e0e0;">City, State, Zip</td> <td></td> </tr> </table>	Name		Address		City, State, Zip	
Name							
Address							
City, State, Zip							
Mail To:	Leerink Swann LLC, One Federal Street, 37th Floor, Boston, MA 02110 Attention: Chief Compliance Officer						

Who we are	
Who is providing this notice?	Leerink Swann LLC and Leerink Swann Insurance Agency LLC
What we do	
How does Leerink Swann protect my personal information?	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.
How does Leerink Swann collect my personal information?	We collect your personal information, for example, when you <ul style="list-style-type: none"> ■ Open an account or update your financial information ■ Place an order or change your investment objective ■ Whenever required by regulation
Why can't I limit all sharing?	Federal law gives you the right to limit only <ul style="list-style-type: none"> ■ Sharing for affiliates' everyday business purposes—information about your creditworthiness ■ Affiliates from using your information to market to you ■ Sharing for nonaffiliates to market to you State laws and individual companies may give you additional rights to limit sharing.
What happens when I limit sharing for an account I hold jointly with someone else?	If you are a joint account holder, we will accept instructions from either of you and apply them to the entire account.
Definitions	
Affiliates	Companies related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> ■ <i>Leerink Swann Insurance Agency LLC</i>
Nonaffiliates	Companies not related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> ■ <i>Financial companies providing services for customers</i>
Joint marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you.
Other important information	
This notice applies to both current and former customers. We may change this notice from time to time. If we do, we will notify you as required by applicable law.	