

 **ROTH** Capital Partners  
美国罗仕证券有限公司  
**ROTH CAPITAL PARTNERS PRIVACY POLICY**  
罗仕证券隐私政策

Roth Capital Partners, LLC recognizes that you expect your personal information to be handled in a professional, confidential manner and we have, therefore, adopted the following policies to safeguard your privacy and to explain the circumstances, under which we may collect, maintain and use any non-public personally identifiable information that you may provide us.

罗仕证券认知您希望您的私人信息能够以专业以及保密的形式处理，因此，我们已经采取了如下的政策来确保您的隐私，并且解释在什么情况下我们可能收集、保管以及使用任何您提供给我们而非公开的私人信息。

We collect information about you to help us serve your financial needs, provide customer service, offer new products or services, and fulfill legal and regulatory requirements. The type of information we collect may include:

- Information we receive from you on applications or other forms (for example, your name, address, social security number, assets and income);
- Information about your transactions with us or others (for example, your account balance, payment history, parties to transactions); and
- Information that we receive from a consumer reporting agency (for example, your creditworthiness and credit history).

我们收集您的信息来帮助我们服务您的财务需求，提供客户服务，提供新的产品或者服务，以及履行法规政策的要求。我们收集的信息可能包括：

- 从您的申请表以及其他表格中收集的信息（比如，您的姓名、地址、社会安全号、资产以及收入）
- 从您同我们以及其他人的交易中取得的信息（比如：您的账户余额、还款记录、交易各方）以及
- 从消费者信用调查/报告机构取得的信息（比如：您的资信以及信用记录）。

We do not share non-public personal information about you with unaffiliated third parties with whom we have no contractual business relationship for their independent use unless (1) you give us permission, (2) it is necessary to complete a transaction on your behalf, (3) it is necessary to protect against fraud, comply with a subpoena or other court order or is otherwise required or permitted by law. **We do not sell information about you to outside unaffiliated companies.**

我们不会将您的非公开个人信息提供给同我们没有合同业务关系的非关联第三方单独使用，除非，（1）您允许我们这样做，（2）这是为您完成交易所必须的；（3）必要的保护，防止欺诈，履行法院传讯或者其他命令或者其他法律规定或许可的。

Further, we restrict access to your personal and account information to those employees who need to know that information to provide products or services to you and maintain strict physical, electronic, and procedural safeguards to guard your nonpublic personal information.

另外，您的个人以及帐户信息我们仅向那些需要知道这些信息的员工提供，以便他们为您提供产品或者服务，我们采取严格的实物的、电子的以及程序化的防护措施来保护您的非公开个人信息。

If you decide to close your account(s) or become an inactive customer, we will adhere to the privacy policies and practices as described in this notice.

如果您决定关闭您的账户或者变成非活动客户，我们将坚持保密政策并且会按照上述的保密政策操作。

We reserve the right to change these privacy policies at any time.

我们保留随时修改这些政策的权利。