

CERTIFICATE OF REGISTRATION

Information Security Management System
ISO/IEC 27001:2013

E*TRADE Financial Corporate Services - Gradifi by E*TRADE

28 State Street, 25th Floor
Boston, Massachusetts 02109
United States

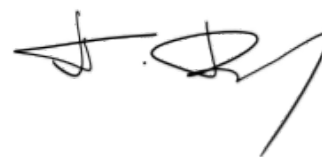
A-LIGN Compliance and Security, Inc. certifies that the organization operates an Information Security Management System that conforms to the requirements of ISO/IEC 27001:2013. The scope and boundaries of the ISMS is as follows:

Gradifi's Information Security Management System (ISMS) in accordance with the requirements of ISO standard ISO/IEC 27001:2013 is to appropriately preserve the Confidentiality, Integrity, and Availability (CIA) of Gradifi information assets. The ISMS framework serves as Gradifi's mechanism to appropriately identify, select, maintain, and improve information security controls that support its SaaS solution.

Certificate Number	ISMS-GR-72617.2	Original Certification Date	July 26, 2017
Version	.2	Expiry Date	July 26, 2023
Statement of Applicability	Version 1.4 (February 22, 2021)	Re-issuance Date	October 13, 2021



Authorized by:

Petar Besalev
EVP of Cybersecurity and Compliance

This certificate is the property of A-LIGN Compliance and Security, Inc ("A-LIGN") and is bound by legally enforceable arrangements. This certificate relates to the organization's Information Security Management System and requirements of ISO/IEC 27001:2013 as defined by the scope and shall in no way imply that the organization's products, processes or services (in-scope or outside of the scope) are certified. The certificate number, certification body mark and accreditation mark shall not be used on products or used in conjunction with documents relating to the organization's products, processes or services. A-LIGN shall take action to deal with incorrect or misleading use of the certificate, certification status or marks. This certification can be validated by contacting A-LIGN.