



# PRIVACY NOTICE

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As your securities firm, we take your privacy seriously. All financial companies need to collect and share nonpublic personal information to run their everyday business. We would like you to know what information we collect and how we use it.

**What categories of information do we collect and share?** We collect certain “nonpublic personal information” about you. The types of information we collect can include your social security number, transaction history, income and risk tolerance, investment experience and employment information.

**Who do we share your personal information with?** We share your personal information with our affiliates that share our name, for their everyday business purposes. We also share your personal information with service providers that perform services on our behalf, such as to process your transactions, to maintain the security and integrity of our systems, and to market our products and services to you. Our service providers must keep your information confidential and use it only to provide services to us. We also share your personal information when necessary to respond to court orders and legal transactions, and as required by law. You do not have the right to limit this sharing.

**How do we protect your 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 do we collect your personal information?** We collect your personal information from you when you open an account or seek advice about your investments, direct us to buy or sell securities, or enter into an investment advisory contract with us. We use this information to help us determine whether certain investments are suitable for you, as a tool to help you obtain your investment objectives, and to satisfy the requirements of various regulatory agencies that govern our firm. We may also collect your personal information from others, such as credit bureaus, affiliates, and other companies.

If you have any questions regarding this Privacy Notice, please contact your investment executive.