

Securities Equity Group / Registered Broker-Dealer

Member FINRA & SIPC

Important Information About Procedures for Opening A New Account

To help the government fight the funding of terrorism and money-laundering activities, Federal law requires that Securities Equity Group (“SEG”) verify your identity by obtaining your name, date of birth, address, and a government-issued identification number before opening your account. In certain circumstances, SEG may obtain and verify this information with respect to any person(s) authorized to affect transactions in an account. For certain entities such as trusts, estates, corporations, partnerships, or other organizations, identifying documentation is also required. Your account may be restricted and/or closed if SEG cannot verify this information. Neither SEG nor our clearing firm National Financial Services, LLC will be responsible for any losses or damages (including but not limited to lost opportunities) resulting from any failure to provide this information, or from any restriction placed upon, or closing of your account.

Privacy Policy

This notice is provided to you on behalf of Securities Equity Group (“SEG”). Protecting our customers’ privacy is of paramount importance. We recognize that an individual’s financial matters are private and sensitive in nature, and we have adopted policies that assist us in protecting your privacy and, at the same time, help us to provide you with a broad range of high-quality financial products and services.

This Privacy Policy will explain the types of information we collect about you, how we use and share that information, and how you can instruct us to limit certain types of information sharing. Information we obtain from all customers and former customers is treated in the same manner.

How We Protect Your Information:

We protect your data and safeguard it from those not authorized to see it by adopting internal policies and procedures. Under no circumstances will we sell confidential customer information to anyone.

What Information We Collect About You:

- We collect information from you when you open an account or enroll in one of our services. The information we collect may include, but is not limited to: your name, address, phone number, email address, social security number, and date of birth, as well as details about your investments and investment experience.
- Once you have opened an account with us, we collect and maintain confidential customer information about your account activity, including your transactions, balances, positions, and history. This information allows us to provide the services you have requested.
- We may collect information about you from information services and consumer reporting agencies to verify your identity, employment, or creditworthiness, or to better understand your financial needs.
- The law permits us to share information about our current and former customers with government agencies or authorized third-parties under certain circumstances. For example, we may be required to share such information in response to subpoenas or to comply with certain laws.

How We Share Information About You With Affiliated Companies:

SEG is an independent broker-dealer, a member of FINRA & SIPC and affiliated via common ownership with SPM Insurance Services, Inc., an independent wholesale insurance agency. We may share information we collect about you with our Affiliated Company to:

- help provide you with better service or perform services on your behalf
- respond to communications from you or as you authorize or request

- make it more convenient for you to open a new account
- allow the Affiliated Company to provide you with information about their products and services that we believe may benefit or interest you

You may instruct us not to share information about you with our Affiliated Company for certain purposes, as explained under *How To Limit The Sharing Of Information About You*, below.

How We Share Information About You With Non-Affiliated Companies:

We provide access to information about you to outside companies and other third-parties in certain limited circumstances, including:

- to help us process transactions for your account
- when we use another company to provide services for us, such as printing and mailing your account statements
- if we believe that disclosure is required or permitted under law
(For example, we may be required to disclose personal information to cooperate with regulatory or law enforcement authorities, to report your tax-related information to federal and state governments, to resolve consumer disputes, to perform credit/authentication checks, or for risk control.)

If your SEG Registered Representative leaves us to join another firm, they are permitted to retain copies of your information to facilitate the transfer of your account to a new broker-dealer or investment advisor in order to serve you at their new firm. Their continuing use of your information will be subject to the new firm's privacy policy. You are not obligated to transfer your account if your Registered Representative leaves us, and you may instruct us **not** to allow the sharing of information as explained below.

How To Limit The Sharing Of Information About You:

If you prefer, you may choose to limit the information we share about you with our Affiliated and Non-Affiliated Companies. Specifically, you may instruct us:

- **not** to allow our Affiliated Company to market their financial products or services to you
- **not** to share confidential customer information about you with a Non-Affiliated company for joint marketing purposes
- **not** to allow your Registered Representative to take your information to facilitate the transfer of your account(s) should they leave SEG

You may exercise your choice by writing us at Securities Equity Group, Attn: Compliance Department, 120 Vantis Drive – Suite 440, Aliso Viejo, CA 92656. Your choice will be applied to you as an individual and will automatically be extended to all of your accounts with our Affiliated Company. You may make your privacy choice at any time and it will remain in effect until you change it in writing.

Safeguarding Your Information, Maintaining Your Trust:

We take precautions to ensure the information we collect about you is protected and is accessed only by authorized individuals or organizations. Our employees are trained about privacy and are required to safeguard confidential customer information. We maintain physical, electronic, and procedural safeguards to protect confidential customer information.

Contact Us With Any Questions:

If you have any questions or concerns, or if you identify any information that you believe is no longer accurate, you may contact your Registered Representative or write to Securities Equity Group, Attn: Compliance Department, 120 Vantis Drive – Suite 440, Aliso Viejo, CA 92656.