

PROSPERA PRIVACY POLICY DISCLOSURE

Commitment to Your Private Information. Prospera Financial Services, Inc. (“Prospera”) and its Financial Professionals are committed to safeguarding client confidential information. Prospera holds all personal information provided by clients in the strictest confidence and it is the objective of Prospera to protect the privacy of you and all of our clients.

Why We Collect and How We Use Information. To conduct regular business, administer, manage, service, and provide related services for client accounts, it is necessary for Prospera to collect and provide access to customer information within the firm and to nonaffiliated companies with whom Prospera has entered into agreements. To provide the utmost service, Prospera will collect and disclose the information below regarding customers and former customers, as necessary, to companies to perform certain services on Prospera’s behalf.

- Information Prospera receives from the client on applications (name, social security number, address, assets, etc.)
- Information about the client’s transactions with Prospera or others (account information, payment history, parties to transactions, etc.)
- Information concerning account transactions
- Information about a client’s financial products with Prospera

Customer Identity Verification. Under the USA PATRIOT ACT, Prospera is obligated to verify the identity of each customer opening a new account. We will ask for your name, address, date of birth, and other personal information that will allow us to identify you, including asking to see your driver’s license or other identifying documents. PLEASE UNDERSTAND that if we are unable to verify the identity of all the owners of any account within a reasonable time, we may, at any time, at our sole discretion, without providing advance notice, close the account.

Sharing Information with Other Companies Permitted or Required Under Law. Prospera shares non-public information to service client accounts. Prospera may also provide customer information outside of the firm as permitted or required by law.

- Prospera may from time to time share client information with its affiliated company, Prospera Life & Annuity Services, Inc. (“PLA”). Due to the nature of our organization, Prospera does share resources and office space with PLA. While Prospera has implemented procedures to limit its client personal information to only those employees that need to know such information to provide services, in the normal course of business, PLA may come into contact with client personal information.



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- Prospera will disclose personal information to non-affiliated investment advisers, brokers and other agents, including First Clearing, LLC, Wachovia Securities, investment advisor firms that are owned and operated by Prospera Financial Professionals, and other financial firms with which Prospera has contracted, to provide services, process transactions and service client accounts. Prospera may also provide your information to vendors providing data processing; computer software maintenance and development; compliance and legal consulting; and other general business consulting services. These vendors are required to sign a nondisclosure agreement agreeing to maintain the confidentiality of all non-public personal information.
- Prospera may also disclose personal information if we believe in good faith that such disclosure is required to comply with applicable laws, such as cooperating with regulators, consumer reporting agencies or to resolve consumer disputes.

Disclosure of Information to Your Financial Professional. Prospera recognizes that you have elected to open accounts with us due to the efforts of your Financial Professional. If your Financial Professional elects to leave Prospera for another registered broker-dealer or investment advisor, Prospera will allow the Financial Professional to take your information to the new firm, subject to the requirements or limitations of applicable law. **If you do not want your Financial Professional to transfer your information from Prospera to the Financial Professional's new firm in the event he or she decides to leave Prospera for another registered broker-dealer or investment advisor, please contact us at 972-581-3000.**

Former Customers. Even if we cease to provide you with financial products or services, our Privacy Policy will continue to apply to you and we will continue to treat your nonpublic information with strict confidentiality.



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