

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 our objective is to protect your privacy and that of all our clients. Federal law gives consumers the right to limit some but not all sharing.

Why We Collect and How We Use Information. Prospera collects and provides access to customer information within the firm and to nonaffiliated companies with whom we have entered into agreements so that we may conduct regular business, administer, manage, service, and provide related services for client accounts. 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, income, investment experience, 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 (“First Clearing”), Wells Fargo Advisors, Pershing LLC (“Pershing”), investment advisor firms and other 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 allows the Financial Professional to take your confidential information to the new firm, subject to the requirements or limitations of applicable law. If your primary address is in a state that requires affirmative consent to share your personal information (such as Alaska, California, or Vermont), then you must give your written consent before your Financial Professional may introduce any of your personal information to that new firm. Prospera entered into the Protocol for Broker Recruiting (“Protocol”) on November 17, 2008. Protocol allows financial professionals who leave one Protocol firm to take and introduce limited information about you (name, address, phone number, e-mail address and the account title of the accounts serviced) to another Protocol firm that the financial professional joins.

Your confidential information may also be shared with entities that your Financial Professional affiliates with, owns and/or controls. In addition, should your Financial Professional (or his/her estate) enter into an agreement with an unaffiliated representative to sell all or some of his/her securities, advisor and/or insurance business, your confidential information may be shared with the acquiring representative and his/her firm. We request that the buyer and seller put a confidentiality agreement in place prior to exchanging information. **In the event your Financial Professional decides to sell his/her business to an acquiring representative/firm or leave Prospera for another registered broker-dealer, investment advisor or insurance company and you do not want your confidential information introduced to the acquiring representative/firm or the Financial Professional’s new firm, 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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