

## PROSPERA PRIVACY NOTICE

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### Commitment to Your Private Information

Prospera Financial Services, Inc. (“Prospera”) and its Financial Professionals are committed to safeguarding client confidential information, including all nonpublic personal information (“Personal Information”). Prospera holds all Personal Information provided by clients and prospective clients in the strictest confidence and our objective is to protect your privacy. Federal law gives consumers the right to limit some but not all sharing of information we may hold about you. Please read this notice carefully to understand your rights and how we handle your information.

### Why We Collect and How We Use Information

Prospera collects and provides access to customer information, including Personal 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 client applications (name, social security number, address, assets, income, investment experience, etc.).
- Information about your transactions with Prospera or others (account information, payment history, parties to transactions, etc.).
- Information concerning your account transactions.
- Information about your 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 Personal Information to service client accounts. Prospera may also provide customer Personal Information to service client accounts. Prospera may also provide customer Personal Information outside of the firm as permitted or required by law.

- Prospera may from time-to-time share client Personal Information with its affiliated company, Prospera Life & Annuity Services, Inc. (“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.
- Prospera will disclose Personal Information to non-affiliated investment advisers, brokers and other agents, including Wells Fargo Clearing Services, LLC (“First Clearing”), Wells Fargo Advisors, investment advisor firms, firms 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 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.
- To limit our sharing, to the extent permitted by applicable law, please call: 972-581-3000.

### 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 Personal 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, North Dakota or Vermont), then you must give your written consent before your Financial Professional may introduce any of your personal information to that new firm. State requirements vary and may change without notice. Your Personal Information may also be shared with entities that your Financial Professional affiliates with, owns and/or controls.

Prospera entered into the Protocol for Broker Recruiting (“Protocol”) on November 17, 2008. The 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.

**In the event your Financial Professional decides to leave Prospera for another registered broker-dealer, investment advisor, or insurance company and you do not want your Personal Information introduced to the Financial Professional’s new firm, please contact us at 972-581-3000.**

Prospera may also disclose your Personal Information with a retiring or retired Financial Professional (or his or her estate) for confidential audit purposes to ensure the financial professional (or their estate) is paid correctly. In the event that your Financial Professional is retiring, has retired or is deceased, and you do not want your Personal Information used or disclosed in this manner, 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 your Personal Information in accordance with this notice.

**Protection of Your Information:** To protect the confidentiality and security of your Personal Information from unauthorized access or use, Prospera uses reasonable policies, practices and safeguards in compliance with applicable laws.

**California:** If you are a California resident, for additional information about your privacy rights please see our California Privacy Notice found at [www.prosperafinancial.com/disclosures/](http://www.prosperafinancial.com/disclosures/).

**Questions?** Please contact us at 972-581-3000 or contact us via email at [prosperaclientcommunication@prosperafinancial.com](mailto:prosperaclientcommunication@prosperafinancial.com).