

FACTS

WHAT DOES FOUNDERS FINANCIAL SECURITIES, LLC DO WITH YOUR PERSONAL INFORMATION?

Why?

Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.

What?

The types of personal information we collect and share depend on the investment product or service you have with us. This information can include:

- Social Security number and income
- Account balances and transaction history
- Risk tolerance and employment information

When you are no longer our customer, we can continue to share your information as described in this notice.

How?

All financial companies need to share customers' personal information to run their everyday business. In the section below, we list the reasons why financial companies can share their customers' personal information; the reasons Founders Financial chooses to share personal information; and whether you can limit this sharing.

Reasons we can share your personal information	Does Founders Financial Securities share?	Can you limit this sharing?
For our everyday business purposes — such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
For our marketing purposes — to offer our products and services to you	Yes	No
For joint marketing with other financial companies	Yes	No
For our affiliates' everyday business purposes — information about your transactions and experiences	Yes	No
For our affiliates' everyday business purposes — information about your creditworthiness	No	We don't share
For our affiliates to market to you	No	We don't share
For non-affiliates to market to you — we do not sell, share, or disclose your nonpublic personal information to nonaffiliated third-party marketing companies	No	We don't share

Questions?

Call Founders Financial Securities, LLC toll free 888-523-1162

Who we are

Who is providing this notice?

This notice is being provided on behalf of Founders Financial Securities, LLC., an affiliate and subsidiary of, Founders Financial, Inc.

What we do

How does Founders Financial protect my 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.

- Access to personal information is restricted to parties with whom we have confidentiality/nondisclosure agreements in place
- Founders adheres to our privacy policy even after accounts close or become inactive

How does Founders Financial collect my personal information?

We collect your personal information, for example, when you

- Open an account or deposit money
- Give us your income information or provide employment information
- Seek financial advice or direct us to buy or sell your securities

We also collect your personal information from other companies.

Why can't I limit all sharing?

Federal law gives you the right to limit only:

- Sharing for affiliates' everyday business purposes—information about your creditworthiness
- Affiliates from using your information to market to you
- Sharing for nonaffiliates to market to you.

State laws and individual companies may give you additional rights to limit sharing. [See below for more on your rights under state law.]

Definitions

Affiliates

Companies related by common ownership or control. They can be financial and non-financial companies.

- Founders Financial is a subsidiary of, and affiliated with Founders Financial, Inc.

Nonaffiliates

Companies not related by common ownership or control. They can be financial and nonfinancial companies.

- This may include retirement plan sponsors, mutual funds companies, sponsors of securities and securities products, insurance companies, other broker-dealers, or clearing firms.
- Founders Financial does not share with non-affiliates so they can market to you. For example, we will not sell names and addresses to marketing companies.

Joint marketing

A formal agreement between non-affiliated financial companies that together market financial products or services to you.

- This may include insurance companies, mutual fund companies, banks, investment firms, third-party administrators, clearing firms, banks, credit unions, or other financial institutions.

Other important information

If you live in an "opt-in" state, where we are required to obtain your affirmative consent to share your nonpublic personal information with nonaffiliated third parties who do not currently assist us in servicing your account or conducting our business, your advisor is required to obtain your consent before your advisor can take your information with him or her should your advisor leave Founders Financial.

California, North Dakota, and Vermont residents: For accounts with a California, North Dakota, or Vermont mailing address, we will not share your personal information with non-affiliated companies for joint marketing purposes, except as required or permitted by law.