



## Facts

### *What does Founders Financial Securities, LLC (FFS) 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 (SSN) 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 customer’s personal information to run their everyday business. In the section below, we list the reasons why financial companies can share their customer’s personal information; the reasons Founders Financial Securities, LLC 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
Joint marketing with other financial companies	Yes	No
To facilitate the continued servicing of your account – after your representative is no longer affiliated with Founders Financial Securities, LLC.	Yes	Yes
For our affiliates’ everyday business purposes – information about your transactions and experiences	Yes	No



Reasons We Can Share Your Personal Information	Does Founders Financial Securities Share?	Can You Limit This Sharing?
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 our non-affiliates' to market to you – we do not sell, share, or disclose your nonpublic personal information to non-affiliated third-party marketing companies	No	We don't share

## 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 non-affiliates to market to you

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



## Definitions

<b>Affiliates</b>	Companies related by common ownership or control. They can be financial and non-financial companies. <b><i>Founders Financial is a subsidiary of, and affiliated with Founders Financial, Inc.</i></b>
<b>Non-affiliates</b>	Companies not related by common ownership or control. They can be financial and non-financial companies. <ul style="list-style-type: none"><li>▶ This may include retirement plan sponsors, mutual fund companies, sponsors of securities and securities products, insurance companies, other broker-dealers, or clearing firms.</li><li>▶ This may also include a Registered Representative or Investment Adviser Representative formerly associated with Founders Financial Securities, LLC who serviced your account while affiliated with Founders Financial Securities, LLC.</li><li>▶ 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.</li></ul>
<b>Joint marketing</b>	A formal agreement between non-affiliated financial companies that together market financial products or services to you. <ul style="list-style-type: none"><li>▶ This may include insurance companies, mutual fund companies, banks, investment firms, third-party administrators, clearing firms, banks, credit unions, or other financial institutions.</li></ul>

## 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 non-affiliated third parties who do not current 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.

If the Registered Representative or Investment Adviser Representative servicing your account terminates his or her affiliation with FFS and becomes affiliated with another broker-dealer and/or investment adviser, we may share your personal information, including but not limited to account balances and transaction history, financial plans, risk tolerance and financial information and your social security number and income information. If you wish to opt out of this sharing, please notify us in writing.