



2022 ANNUAL DISCLOSURE TO CLIENTS OF FOUNDERS FINANCIAL SECURITIES, LLC

If you have any questions regarding any of this information, please contact your Founders Financial Securities, LLC (“FFS”) investment professional.

FORM ADV

The Form ADV Part 2A, “Brochure,” for FFS provides information about the qualifications and business practices of FFS, a registered broker-dealer and SEC Registered Investment Adviser. The changes to the ADV Part 2A since the last annual update in March 2021 include an update regarding Item 4 Advisory Business.

If you would like to receive a copy of our most recent Brochure, please contact FFS’ Stakeholder Support Services Team at 888- 523-1162, option 1. Additional information about FFS is also available on the SEC’s website at adviserinfo.sec.gov.

CUSTOMER RELATIONSHIP SUMMARY (FORM CRS)

The Customer Relationship Summary Form ADV Part 3 for FFS provides information about our brokerage and advisory services and fees. On March 31, 2021, FFS updated their Form CRS. Please visit Investor.gov/CRS for a free and simple search tool to view our current Form CRS, research us and our financial professionals. A copy of our Form CRS has been included within this mailing.

ACCOUNT AGREEMENT

FFS recognizes the importance of providing necessary information and disclosures that impact the relationship between FFS, our Registered Representatives and you. This information can be found in your Account Agreement. We urge you to be certain you have a copy of your Account Agreement and are familiar with the terms and conditions therein.

In addition, to best serve your investment needs, your Registered Representative must have current and accurate information about matters that could potentially affect your financial and personal goals. To this end, if you have experienced any life changes that may impact your investment needs or financial profile, we request that you contact your Registered Representative to discuss what, if any, impact this may have.

MARGIN DISCLOSURE

Securities in a margin account are collateral for loan(s) made to you. Interest you pay on such loan(s) may be shared between FFS and Pershing. If the securities in your account decline in value, so does the value of the collateral supporting your loan(s). As a result, FFS or Pershing can take action (known as a “margin call”) to maintain the appropriate percentage of equity in the subject margin account, such as: require you to deposit additional collateral and/or sell securities or other assets in any of your accounts held with Pershing. It is important that you fully understand the risks

involved in trading securities on margin. These risks include, but are not limited to, the following:

You can lose more funds or securities than you deposit in the margin account; FFS or Pershing can force a sale of securities or other assets in your account(s); FFS or Pershing can sell your securities or other assets without contacting you; You are not entitled to choose which securities or other assets in your account(s) are liquidated or sold to meet a margin call; FFS or Pershing can increase its “house” maintenance margin requirements at any time without advance written notice; You are not entitled to an extension of time on a margin call.

FINANCIAL INDUSTRY REGULATORY AUTHORITY (“FINRA”) PUBLIC DISCLOSURE

The FINRA public disclosure hotline number is (800) 289-9999. The FINRA web site address is FINRA.org. An investor brochure that includes information describing the Public Disclosure Program may be obtained from FINRA.

SECURITIES INVESTOR PROTECTION CORP. (“SIPC”)

Information regarding SIPC, including a SIPC brochure, may be obtained by contacting SIPC via its website at sipc.org or by telephone at (202) 371-8300.

MUNICIPAL SECURITIES REGULATORY BOARD (“MSRB”)

Founders Financial Securities, LLC is registered with the SEC and the Municipal Securities Rulemaking Board (“MSRB”); the website address for the MSRB is msrb.org; and an investor brochure is available on the MSRB website which describes the protections that may be provided by the MSRB rules and how to file a complaint with an appropriate regulatory authority. Through the MSRB’s Electronic Municipal Market Access (“EMMA”) website, investors can access information about the municipal bonds they own or wish to purchase, including annual financial statements and material events. This information, including instructions on how to use EMMA, can be found at emma.msrb.org.

FFS PRIVACY POLICY

FFS recognizes the importance of protecting the confidentiality of nonpublic personal information that we collect about our customers. The information is used to ensure accuracy in reports and record keeping, to maintain its customer accounts and to carry out requested transactions. A top priority for FFS is to keep this information secure.

1. What Information We Collect and From Whom We Collect It:

We may collect nonpublic personal information about you from the following sources:

- Information we receive from you on applications or other forms such as your name, address, and social security number;
- Information about your transactions, account balance, payment history, and parties to transactions with us, or transactions with entities which we share common ownership, and which offer life or health insurance and pension and savings products; and information we receive from non-affiliated third parties, including consumer reporting agencies.

2. What Information We Disclose and To Whom We Disclose It:

We do not disclose any nonpublic personal information about our customers or former customers to entities which we share common ownership, and which offer life or health insurance and pension and

savings products or non-affiliates without your express consent, except as permitted by law. We may disclose all the information we collect, as described above, to persons or companies that perform services on our behalf and to other financial institutions with which we have joint marketing agreements.

3. Our Security Procedures:

We restrict access to nonpublic personal information and only make disclosures to persons and companies as permitted by law or to assist in providing products or services to you. We maintain physical, electronic, and procedural safeguards to guard your nonpublic personal information. Should your relationship with us end, we will maintain and only disclose nonpublic personal information in accordance with this Privacy Policy.

4. 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.

You can review our Privacy Policy via our parent company’s website, foundersfinancial.com.

ORDER ROUTING PRACTICES

FFS is required to make available quarterly reports of our routing practices. These reports identify the significant venues to which our customer’s orders were routed for execution during the previous calendar quarter. FFS transmits all equity orders to our clearing firm, Pershing, who may then route customers’ orders to various venues for execution. A written copy of this report is available by contacting your Registered Representative or via our parent company’s website, foundersfinancial.com.

WHO IS FOUNDERS FINANCIAL SECURITIES, LLC?

FFS is a Registered Investment Advisor and Registered Broker-Dealer firm that supports the activities of independent Registered Representatives and their firms to ensure they positively impact the lives of their clients and community. All investments purchased or sold are conducted through a registered investment professional and he or she is affiliated with the registered broker-dealer and/or the registered investment advisor. FFS branch offices are in various states around the country.

The home office of FFS is located at:
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