

## J. D. Seibert & Company, Inc. Privacy Pledge

At J.D. Seibert & Company, Inc., your privacy is our priority.

We collect personal information to open your account(s), to process your transactions and to help us provide a better level of service. We do not sell your personal information to anyone. We protect the security and confidentiality of the personal information we collect.

Our relationship with you is our most important asset. We understand that you have entrusted us with your private financial information, and we do everything to maintain that trust. Details of our approach to privacy and how your personal information is collected and used are set forth in the Private Policy below.

### The J.D. Seibert & Company, Inc., Privacy Policy

J.D. Seibert & Company, Inc., (Seibert) privacy policy applies to consumers who are current or former Seibert brokerage clients. Throughout the policy, we refer to information that personally identifies you or your accounts as “personal information.”

1. We do not sell your personal information to anyone.
2. We do not disclose personal information to third parties, unless one of the following limit exceptions applies.
  - a. We disclose personal information to companies that help us in process or service your transactions or account (s), including companies that print and mail your statements.
  - b. So that you can learn about products or services, we may also disclose personal information, such as account and transaction data, to companies, including financial institutions, which assist us in marketing. We have contracts with these companies that prohibit them from using your personal information for their own purposes.
  - c. We may disclose or report personal information in limited circumstances when we believe in good faith that disclosure is required or permitted under law, for example, to cooperate with regulators or law enforcement authorities, resolve consumer disputes, perform credit/authentication checks, or for institutional risk control.

Outside of these exceptions, we shall not share your personal information with third parties unless you have specifically asked us to do so, that is, opted-in.

3. We do collect personal information in the normal course of business in order to administer your account(s) and serve you better.
  - a. Application and registration information: We collect information that you provide us when you open an account. The information we may collect may include name, address, phone number, social security number, date of birth, employment information and a government issued photo id. We will also

collect information about your investments and investment experience as well as information from consumer reporting agencies.

- b. Web site usage: We collect some information on our website through the use of “cookies”. For examples, we may identify the pages on our web site that your browser requests or visits.
  - c. Transaction information: Once you have an account with us, to administer your account and better serve you, we collect and maintain personal information about your transactions, including balances, positions and history, and may include your name or other data in an internal client list that reflects your activities at Seibert.
4. We use your personal information to fulfill our regulatory obligations and to help us deliver the best possible service to you.
    - a. For example, we may use your personal information to provide faster and more convenient services or to alert you to Seibert products and services you might find useful.
  5. We protect the confidentiality and security of your personal information.
    - a. Companies we hire to provide support services are not allowed to use your personal information for their own purposes and are contractually obliged to maintain strict confidentiality. We limit their use of your personal information to the performance of the specific service we have requested.
    - b. We restrict access to personal information to our employees for business purposes only. All employees are trained and required to safeguard such information.
    - c. We maintain physical, electronic and procedural safeguards to guard your personal information.
  6. We continue to evaluate our effort to protect personal information and make every effort to keep your personal information accurate and up to date.
    - a. If you identify any inaccuracy in your personal information, or you need to make a change to that information, please contact us so that we may promptly update our records.
  7. We will provide notice of changes in our information-sharing practices. If at any time in the future, it is necessary to disclose any of your personal information in a way that is inconsistent with this policy, we will give you advance notice of the proposed change so that you will have the opportunity to opt-out of such disclosure.

If you have any questions or concerns, please feel free to call us at 1-800-247-3396 or email us at [j david@jdseibertandco.com](mailto:j david@jdseibertandco.com).