

### **Privacy Policy**

Your privacy is our priority and we are committed to safeguarding your personal information. We do not share non-public information about you with any third party without your authorization, except as necessary to service your account or as required by law.

In order to service your account, confirm your identity for security purposes and to comply with the regulations that govern our industry, we collect the following types of non-public information:

- Your identity, such as your name, address and social security number
- Your employment and financial status
- Your investments and financial transactions

When you open a new account on behalf of a legal entity, we are required to obtain information about the legal entity's beneficial owner(s), including their name, address, date of birth and social security number (or passport number or equivalent, in the case of Non-U.S. persons). We may also require a copy of a driver's license or other identifying document for each owner listed.

Beneficial owners are:

(1) Each individual, if any, who owns, directly or indirectly, 25 percent or more of the equity interests of the legal entity customer;

and

(2) An individual with significant responsibility for managing the legal entity customer (e.g., Chief Executive Officer, Chief Financial Officer, General Partner, etc.)

We collect this information from you and through other sources, such as applications or other necessary forms and documents. In certain cases, we may confirm the information you provide with commercial sources.

We maintain physical, electronic and procedural safeguards that comply with federal standards to protect your information. We also have internal controls and standards in place to keep our customer information as accurate and complete as possible. If you believe that any information having to do with you or your account is inaccurate, please let us know.

Should you have any questions, please call our Compliance Department at (800) 741-1103, ext. 2423.

### **Trusted Contact**

By choosing to provide information about a trusted contact person, you authorize us to contact the trusted contact person and disclose information about your account to that person in the following circumstances: to address possible financial exploitation, to confirm the specifics of your current contact information, health status, or the identity of any legal guardian, executor, trustee or holder of a power of attorney, or as otherwise permitted by FINRA Rule 2165 (Financial Exploitation of Specified Adults).

Please see reverse side for our  
Business Continuity Plan (BCP) summary.

214-0619

### **Business Continuity Plan (BCP) Summary**

As required by federal law, we have developed a Business Continuity Plan (BCP) outlining our response system in the event of a Significant Business Disruption (SBD). Should a disaster or disruption occur, we are committed to providing you with superior service.

Our recovery strategy implements a quick and flexible response system to resume normal business operations. If an SBD occurs, the firm will respond immediately by taking steps to:

- Safeguard employees and property
- Assess the current financial and operational condition of the firm
- Protect the firm's books and records
- Allow customers to resume transacting "business as usual"

Should an SBD occur, we have a plan and resources in place that provide for:

- Redundant data centers
- Alternate clearing and administrative facilities
- Prompt access to customer funds and securities

For our First Clearing (FC) customers, we have been advised that FC will in a timely manner:

- Restore their own operations
- Complete existing transactions
- Accept new transactions
- Facilitate payments

A delay of your orders and requests through FC may be experienced during the occurrence of an SBD.

If an SBD disrupts regular communication with us and we cannot be reached at (561) 368-5284 or (305) 937-0660, please call (800) 741-1103 where, at a minimum, you will receive updates via a recorded message. Our Web site, [www.FMSbonds.com](http://www.FMSbonds.com), will also have emergency contact information and recovery status updates as needed. Should you have any questions about our business continuity plan, please contact our Compliance Department at (800) 741-1103 ext. 2423.

### **Member FINRA/SIPC**

We are a member of FINRA (the Financial Industry Regulatory Authority) and SIPC (the Securities Investor Protection Corporation). You may obtain information about SIPC, including its brochure, by contacting SIPC online at [www.sipc.org](http://www.sipc.org) or by calling (202) 371-8300.