

## **Notice of Privacy Policy**

*This notice is being provided by Texas Securities, Inc., because you are a customer.*

Texas Securities, Inc. (TSI) is committed to maintaining the privacy and security of your personal and financial information. We adhere to confidentiality standards designed to protect your privacy. TSI's Privacy Policy applies to both past and current customers of TSI.

TSI does not sell your personal information to anyone:

- Federal Law has established guidelines, requiring advance notice to customers. The advance notice allows the customer to "opt out" of disclosing certain information to third parties.
- TSI does not disclose non-public personal information to third parties which would trigger this right to "opt out," so in effect our customers are automatically opted out.

How we obtain information about you:

- In the normal course of business, we collect, retain, and use information about you to serve your financial needs and administer your account(s). This data, known as non-public personal information, may be collected from several sources, including: new account applications and other forms you file with us (e.g., name, address, telephone #, assets, income), records of transactions with us, our affiliates, non-affiliated third parties, and others (e.g., credit report). Although the firm does not obtain any consumer reports (credit reports) on clients, the firm will treat consumer reports with the same degree of confidentiality as the other non-public personal information it obtains. Because we strive to provide you with the best possible service, the accuracy and completeness of your personal information is important to us.

TSI only shares non-public personal information, in accordance with federal law, under the following circumstances:

- We may disclose information to companies that help us process transactions for your account, such as the execution of trades.
- We may share information with affiliated or interested parties for the intended purpose only, including outside compliance consultants and those that help us conduct our business, such as IT professionals, after we have entered into contracts with these companies that include a confidentiality clause which prohibits them from using the information provided for their own purposes and requires them to keep the information confidential.
- We may disclose or share non-public personal information where we believe in good faith the disclosure is required or permitted by law; such as pursuant to a request for information from the Federal Bureau of Investigation (FBI), the Internal Revenue Service (IRS), the Securities and Exchange Commission (SEC), and to other parties under Court Order or Subpoena.

Confidentiality and Security:

- We restrict access to non-public personal information about you only on a need-to-know basis to those employees that provide products or services to you. We maintain strict physical, electronic, and procedural safeguards that comply with federal standards to guard your non-public personal information.
- TSI keeps all personal information about customers in locked storage and provides secure removal of unusable documents containing customer non-public information by shredding the documents.
- Mail is collected by hand delivery and receipt in the lobby of TSI. Only authorized personnel may receive or collect and distribute incoming mail.

If you decide to close your account(s) or become an inactive customer, TSI shall continue to adhere to the privacy policies and practices described in this notice. TSI reserves the right to change these policies at any time.

Our dedication to maintaining your privacy translates to all your transactions with us, and to all Texas Securities, Inc. business practices. If you have any questions related to privacy issues, please contact Texas Securities, Inc. at (972) 492-0058.

Updated as of September 1, 2017