



**Signal Securities, Inc.**  
**Privacy Notice**  
**Confidentiality and Privacy Practices**

Financial service professionals, as well as all other providers of financial services to consumers, are now required by law to inform clients and prospective clients about their policies regarding the privacy of information. We, at *Signal Securities, Inc.* are committed to maintaining the highest degree of confidentiality for each of our former, current, and future clients.

*Signal Securities, Inc.* is committed to protecting the confidentiality of all non-public personal information and records, which include, but may not be limited to, information contained in a Signal New Account Form, Hilltop Securities, Inc. New Account Information Form, Schwab Institutional Account Forms, Client Questionnaires, and personal background information, as well as each client's entire personal financial situation. The latter may include investment holdings and allocations, account numbers and balances, as well as investment objectives and contracts.

Our firm will not disclose confidential client information to third parties, including the client's other family members, without the client's express written authorization, except as may be necessary for the following purposes: to establish, service and maintain accounts and to effectuate transactions on the client's behalf; to comply with legal and regulatory requirements, such as court orders or demands by regulatory agencies; to defend the firm against charges of wrongdoing, in connection with a dispute between the firm and the client; or in the process of obtaining protection of the confidentiality or security of client records. We do not provide client names to anyone or any entity, except in limited circumstances in which we are asked to provide references, and the listed clients have given the firm permission to do so.

We are committed to data security. Signal has security measures (including on-line and off-line physical, electronic and managerial safeguards) in place to protect the loss, misuse, and alteration of the information under our control. As with any transmission over the Internet, however, there is always some element of risk involved in sending personal information on-line. Remember to keep your password private and secure – you should not share this information with anyone.

We have always, and will always, protect our clients' privacy rights to the best of our ability.

This notice also serves as a reminder that you should immediately contact us if your address, investment objectives or other personal information changes. Should you have any questions regarding your privacy and confidential information, feel free to contact us.

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SEC Registered Investment Advisor  
Member: FINRA, SIPC

SECURITIES INVESTOR PROTECTION CORPORATION (SIPC):

Clients may obtain information about SIPC, including the SIPC brochure, by contacting SIPC via telephone (202) 371-8300 or by visiting the SIPC website at [www.sipc.org](http://www.sipc.org).

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