



Signal Securities, Inc.
Registered Investment Advisor
Member: FINRA, MSRB, SIPC

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, Southwest 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 bodies; 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 us permission to do so.

Our firm maintains internal administrative, electronic and physical safeguards to protect client information. All employees of *Signal Securities, Inc.* are required to sign a "Confidentiality and Privacy Agreement" and an "Insider Trading Policy," which restrict their usage of client information to internal use only.

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

Should you have any questions regarding your privacy and confidential information, feel free to contact us.

SECURITIES INVESTOR PROTECTION CORPORATION (SIPC):

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