



NOTICE OF PRIVACY POLICY

The following describes how Sunbelt Securities, Inc. ("Sunbelt") handles your personal information, and what steps we take to protect your privacy. **We do not use your personal information for marketing purposes.**

Accessing Information

We restrict access to non-public personal customer information to those employees who need to know that information to provide products or services to you. Access to this type of information is authorized for Sunbelt's business purposes only. It is based on our need to know such information to assist your broker in providing products or services to you, or to conduct Sunbelt's business. Sunbelt contractually requires its personnel who have access to customer information to protect it and keep it confidential.

Collecting Information to Conduct Business

Sunbelt collects information about you to help your broker serve your financial needs, provide customer service, offer new products or services to you, and fulfill legal and regulatory requirements. The type of information your broker provides Sunbelt varies according to the products or services you request through your broker, and may include:

- Information included on your application and related forms (such as name, address, Social Security Number, assets and income);*
- Information about your relationship with your broker (such as products or services purchased, account balance and payment history);
- Information from visitors to Sunbelt's websites (such as that provided through online forms, site visitorship data, and online information collections devices known as "cookies").

Sharing Information

We do not disclose any non-public personal information about our customers or former customers to anyone except as allowed by law. However, in the course of conducting business, we may disclose some or all of the previously described information about you to non-affiliated third parties, as allowed by law, for the purpose of:

- Providing customer service or account maintenance
- In response to a subpoena, to prevent fraud, or to comply with an inquiry by a government agency or regulator
- To perform services for us or on our behalf to develop or maintain software or other business services, and/or
- Any request to share information that we receive in writing and signed by the customer

If you prefer that we do not disclose the non-public personal information about you to our affiliates, you may opt out of those disclosures.

That is, you may direct us not to make those disclosures (other than disclosures permitted and/or required by law). To opt out from having this information shared with non-affiliated third parties, you may call 713-965-9510 or your broker directly.

Security Standards

Sunbelt continues to assess new technology to evaluate its ability to provide additional protection of your personal information. We maintain physical, electronic, and procedural safeguards that comply with federal standards to guard your non-public personal information.

Former Customers

If you end your relationship with Sunbelt, we will continue to adhere to the policies and practices described in this notice. We will also continue to respect any opt out election that you may have made.

Security Breach

In the event we discover a security breach, either through internal testing or external notification, which jeopardized the privacy of sensitive customer information we have a system in place to:

- Identify, contain, and rectify the breach
- Identify and notify all customers potentially affected by the breach
- Assist the potentially affected customers as to the steps they should take to further protect themselves
- Take action against the offender(s) as appropriate

*If any information changes, please notify your broker so that your records can be updated.

Notification of Opt Out

I have received and read the "Notice of Privacy Policy". I am instructing Sunbelt Securities, Inc. **not** to make the disclosures to third parties that the notice describes. I understand that this notice applies to all my customer relationships with Sunbelt Securities, Inc. I further understand that this notice is automatically inferred to all others with whom I have joint relationships, such as co-borrowers, joint account holders, etc.

I acknowledge that Sunbelt Securities, Inc. has 45 days to implement this request and, notwithstanding this instruction, may still make other disclosures as required or other wise allowed by law.

Name: _____ SSN or TIN: _____ Account #: _____

Clients Signature: _____ Date: _____

Mail to:

Sunbelt Securities, Inc.

Attn: Compliance Dept.

5065 Westheimer, Suite 600

Houston, TX 77056



Privacy Policy

5065 Westheimer, Suite 600, Houston, TX, 77056

Main: 713-965-9510 Fax: 713-965-9435

Toll Free: 877-316-7746