

Member FINRA, SIPC, and Registered Investment Advisor  
12325 Port Grace Blvd  
La Vista, NE 68128  
securitiesamerica.com

September 2022

FACTS	WHAT DOES SECURITIES AMERICA, INC. ("SECURITIES AMERICA") DO WITH YOUR PERSONAL INFORMATION?
Why?	Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.
What?	<p>The types of personal information we collect and share depend on the product or service you have with us. This information can include:</p> <ul style="list-style-type: none"><li>▪ Social Security number or other tax identification number, Date of Birth, and income</li><li>▪ Account balances and transaction history</li><li>▪ Credit history and risk tolerance</li><li>▪ Investment Experience</li><li>▪ Assets and Retirement Assets</li></ul> <p>When you are no longer our customer, we will continue to hold your information and share it as described in this notice.</p>
How?	All financial companies need to share customers' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' personal information; the reasons Securities America chooses to share; and whether you can limit this sharing.

REASONS WE CAN SHARE YOUR PERSONAL INFORMATION	DOES SECURITIES AMERICA SHARE?	CAN YOU LIMIT THIS SHARING?
For our everyday business purposes—such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
For our marketing purposes—to offer our products and services to you	Yes	No
For joint marketing with other financial companies	Yes	No
For our affiliates' everyday business purposes— information about your transactions and experiences	Yes	No
For our affiliates' everyday business purposes— information about your creditworthiness	Yes	Yes
For affiliates and nonaffiliates to market to you	Yes	Yes

To limit our sharing	<p>Contact us in writing: Securities America, Inc., 12325 Port Grace Blvd, La Vista, NE 68128.</p> <p>You may limit the sharing of your personal information ("Opt-Out") by calling 1-866-816-9333, if you received this privacy notice by regular mail. Otherwise please call 800-747-6111.</p> <p><b>Please note:</b></p> <p>If you are a new customer, we can begin sharing your information 30 days from the date we sent this notice. When you are no longer our customer, we continue to share your information as described in this notice.</p> <p>However, you can contact us at any time to limit our sharing.</p>
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Questions?	Contact us in writing: Attention Privacy Office, 10 Exchange Pl., Suite 1410, Jersey City, NJ 07302
WHO WE ARE	
Who is providing this notice:	<p>Securities America and its Affiliates (collectively, “Advisor Group, Inc.” or “AGI”). Our Affiliates covered under this privacy notice include the following entities:</p> <ul style="list-style-type: none"><li>• Arbor Point Advisors, LLC, a Registered Investment Advisor</li><li>• FSC Securities Corporation</li><li>• Royal Alliance Associates, Inc.</li><li>• Ladenburg Thalmann &amp; Co. Inc.</li><li>• SagePoint Financial, Inc.</li><li>• Securities America, Inc.</li><li>• Securities America Advisors, Inc., a Registered Investment Advisor</li><li>• Triad Advisors, LLC</li><li>• Triad Hybrid Solutions, LLC, a Registered Investment Advisor</li><li>• Woodbury Financial Services, Inc.</li><li>• VISION2020 Wealth Management Corporation, a Registered Investment Advisor</li></ul>
WHAT WE DO	
How does Securities America protect my personal information?	<p>To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.</p> <p>Employees are trained on the proper handling of customer personal information.</p>
How does Securities America collect my personal information?	<p>We collect your personal information, for example, when you</p> <ul style="list-style-type: none"><li>▪ open an account or apply for insurance;</li><li>▪ seek advice about your investments;</li><li>▪ provide account information; or</li><li>▪ make deposits or withdrawals from your account.</li></ul> <p>We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.</p>
Why can’t I limit my sharing?	<p>Federal law gives you the right to limit only</p> <ul style="list-style-type: none"><li>▪ sharing for affiliates’ everyday business purposes—information about your creditworthiness</li><li>▪ affiliates from using your information to market to you</li><li>▪ sharing for nonaffiliates to market to you</li></ul> <p>State laws and individual companies may give you additional rights to limit sharing. See below for more on your rights under state law.</p>
DEFINITIONS	
Affiliates	<p>Companies related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"><li>▪ Securities America’s affiliates are all companies that are owned by Advisor Group, Inc. and/or Advisor Group Holdings, Inc.</li><li>▪ Affiliates Securities America shares with may include Securities America’s affiliates and/or financial professionals related to such affiliates that may purchase your representative’s securities business and market financial products and services to you.</li></ul>
Nonaffiliates	<p>Companies not related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"><li>▪ <i>Nonaffiliates Securities America shares with may include other financial services firms that your current representative may transfer his/her securities registration to should they leave Securities America or unaffiliated representatives that may purchase your representative’s securities business. Your representative’s ability to service your account will be restricted if you opt-out or do not opt- in to sharing your personal information.</i></li></ul>
Joint marketing	<p>A formal agreement between nonaffiliated financial companies that together market financial products or services to you.</p> <ul style="list-style-type: none"><li>▪ <b>This may include banks, credit unions or other financial institutions with which we have a joint marketing agreement.</b></li></ul>
OTHER IMPORTANT INFORMATION	
<p>In order to comply with applicable laws and legal requirements, we may disclose information to government entities, self-regulatory organizations, or other third parties in response to court orders, subpoenas, government inquiries, or other mandatory legal processes.</p> <ul style="list-style-type: none"><li>▪ If <i>you</i> live in Alaska, California, Massachusetts, Maine, North Dakota or Vermont, under certain circumstances, we are required as a financial institution to obtain your affirmative consent to share your <i>personal information</i> with a Nonaffiliate. If <i>you</i> live in any state other than those listed, under certain circumstances, <i>you</i> may opt-out of Securities America sharing your <i>Personal Information</i> with a Nonaffiliate. If you opt-out you will continue to receive annual privacy notices as required by the SEC. However, you do not need to respond to maintain a previous opt-out designation. Please refer to the “To Limit Our Sharing” section for ways to opt-out.</li></ul>	