

**FOR YOUR RECORDS**  
**Privacy Policy Statement**  
**Integrity Brokerage Services, Inc. (Member FINRA/SIPC)**

**Integrity Brokerage Clients**

Integrity Brokerage takes great pride in providing you with superior brokerage services. We understand your concerns about guarding information about you and your account and we want to assure you that we have taken steps, and will continue to take steps, to safeguard that information. Our privacy policy, described in detail below, is applicable to all former and current customers and reflects our ongoing commitment to keeping your personal information secure.

**What Personal Information do we Collect and Why?**

In order to service your accounts, we collect information from you to provide the financial services that you have requested. The personal information collected may come from the following sources: Information we receive from you on applications or other forms, such as your name, address, telephone number, social security number, occupation, and income; Information relating to your transactions with us such as your account balances, types of transactions, payment history, security positions, and activity; Information which may be received from consumer reporting agencies, such as your creditworthiness and credit history; and Information which may be received from other sources with your consent.

**What Personal Information do we Share and to Whom?**

We do not disclose any personal information about our customers to anyone, except to the extent necessary to support your business transactions, service your accounts, or as otherwise permitted by law for legal, regulatory or other purposes. In this regard servicing your accounts, we share your personal information (as described above) only to our securities clearing firm, Penson Financial Services, Inc. **We do not sell your personal information to anyone for any reason.**

**How do we Protect the Confidentiality and Security of Your Information?**

We maintain physical, electronic and procedural safeguards to ensure your personal information is treated responsibly in accordance with our privacy policy. Where appropriate, we employ firewalls, encryption technology, user authentication systems (i.e. passwords and personal identification numbers) and access control mechanisms to control access to our systems and data. Any third parties who may have access to your personal information must agree to follow our privacy policy. Our privacy policy includes restricting access within our firm to staff who need to know that information to support your business transactions, service your accounts, or as otherwise permitted by law for legal, regulatory or other purposes.

**How do you Receive Additional Information ?**

You may access information concerning your accounts through a variety of media offered by our firm and/or our clearing firms (i.e. statements or online services). Please contact us if you require any additional information.

**Changes to Our Privacy Policy**

We reserve the right to make changes to this policy.

**Anti-Money Laundering Information**

To help the government fight the funding of terrorism and money laundering activities, federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account. What this means for you: When you open an account, we will ask for your name, address, date of birth and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents.

**How to Get in Touch with Us Regarding this Privacy Policy**

For more information relating to our privacy policy, please contact the Integrity Brokerage Compliance Department at 1945 Stewart Street Oceanside, CA 92054 or 800-863-7511.