

FACTS

WHAT DOES *PTS* BROKERAGE, LLC 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?

The types of personal information we collect and share depend on the product or service you have with us. This information can include:

- Social Security Number and financial account numbers
- Account balances and transaction information
- Income and employment information

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 *PTS* Brokerage, LLC chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does <i>PTS</i> Brokerage, LLC 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	No	We do not share
For our affiliates' everyday business purposes - information about your transactions and experiences	No	We do not share
For our affiliates' everyday business purposes - information about your creditworthiness	No	We do not share
For our affiliates to market to you	Yes	Yes
For non-affiliates to market to you	No	We do not share

To limit our sharing

- Call (856) 802-9400 or Email us at pts@ptsbrokerage.com

Please note:

If you are a *new* customer, we can begin sharing your information 1 day 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.

However, you can contact us at anytime to limit our sharing.

Questions?

Call (856) 802-9400 or Email us at pts@ptsbrokerage.com

Who we are

Who is providing this notice?

PTS Brokerage, LLC

What we do

How does PTS Brokerage, LLC protect my personal information?

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.

How does PTS Brokerage, LLC collect my personal information?

We collect your personal information, for example, when you

- Open an account or make deposits or withdrawals from your account
- Direct us to buy securities or sell your securities
- Tell us about your investment or retirement portfolio

Why can't I limit all sharing?

Federal law gives you the right to limit only

- sharing for affiliates' everyday business purposes - information about your creditworthiness
- affiliates from using your information to market to you
- sharing for non affiliates to market to you

State laws and individual companies may give you additional rights to limit sharing.

What happens when I limit sharing for an account I hold jointly with someone else?

Your choices will apply to everyone on your account.

Definitions

Affiliates

Companies related by common ownership or control. They can be financial and nonfinancial companies.

- Our affiliates include, PTS Tax Advisors, LLC

Non-Affiliates

Companies not related by common ownership or control. They can be financial and nonfinancial companies.

- PTS Brokerage, LLC does not share with non-affiliates so they can market to you

Joint Marketing

A formal agreement between non-affiliated financial companies that together market financial products or services to you.

- PTS Brokerage, LLC does not jointly market

Other Important Information

For California Residents. In accordance with California law, we will not share information we collect about you with non-affiliates, except as allowed by law. For example, we may share information with your consent or to service your accounts. Among our affiliates, we will limit information sharing to the extent required by California law.