

FACTS

WHAT DOES FINANCIAL NORTHEASTERN SECURITIES 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
- Account balances
- Investment experience
- Employment information
- Transaction history
- Assets

When you are *no longer* our customer, we continue to share your information as described in this notice.

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 Financial Northeastern Securities chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does FNS 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	Yes
For our affiliates' everyday business purposes— information about your creditworthiness	Yes	Yes
For nonaffiliates to market to you	No	We don't share

Questions?

Call 800-362-9876 or go to www.financialnortheastern.com

Who we are

Who is providing this notice?

Financial Northeastern Securities LLC (FNS)

What we do

How does FNS protect my personal information?

To protect your personal information from unauthorized access and use, we have implemented physical, electronic, and procedural safeguards that comply with federal law. These measures include an Incident Response Program, data security of files and buildings, and service provider oversight.

How does FNS collect my personal information?

We collect your personal information, for example, when you

- Open an account or provide account information
- Seek advice about your investments or direct us to buy/sell your securities
- Tell us about your investment/retirement portfolio or make deposits/withdrawals from your account

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 nonaffiliates to market to you

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

Definitions

Affiliates

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

- *Our affiliates include Financial Northeastern Securities LLC (FNS)*

Nonaffiliates

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

- *Financial Northeastern Securities does not share with nonaffiliates so they can market to you.*

Joint marketing

A formal agreement between nonaffiliated financial companies that together market financial products or services to you.

- *Financial services entities, such as banks, credit unions, credit union service organizations, thrifts, thrift service organizations, insurance companies, or securities broker/dealers, with which we have joint marketing agreements.*

Other Important Information

For Vermont Residents: In accordance with Vermont law, we will not share information we collect about Vermont residents with companies who are not affiliates, except as permitted by law, such as with your consent or to service your accounts.

For Nevada Residents: In accordance with Nevada law, if you would like to be placed on our Internal Do Not Call List, please call 800-362-9876. You may obtain further information by contacting the Bureau of Consumer Protection, Office of the Nevada Attorney General, 555 E. Washington St., Suite 3900, Las Vegas, NV 89101; Phone number: 702-486-3132; Email: AgInfo@ag.nv.gov

For California Residents: In accordance with California law, we will not share information we collect about you with nonaffiliates, 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.