

## Privacy Policy for Beta Capital Securities LLC

Beta Capital Securities LLC, ("Beta" or the "Firm") maintains an established policy to respect the privacy of all accounts that we serve and to protect the security and confidentiality of non-public personal information relating to those accounts.

**Consumer Privacy Notice:** Beta is a FINRA and SEC registered broker-dealer, referred collectively as "Beta" "us" "we" or "our". Beta believes in protecting the confidentiality and security of information we collect about individuals. This notice describes the privacy policy followed by Beta regarding how we treat the information we receive ("Information") about individuals who apply for or obtain our products or services ("Individuals") and the third parties with whom we may share this information.

**Information We Collect:** In order to service your account as a brokerage firm, Beta obtains public and "Non-Public Information" from you, and third parties that service your account. This information is collected in order to provide the financial services you have requested. We collect Non-Public Personal Information about Individuals from the following sources:

- Information provided to us directly by an Individual on an application or other form in connection with our products or services. This may include but is not limited to: name, address, telephone number, social security number, occupation, assets, and income;
- Information about an individual's transactions with us, our affiliates, or others, such as account balance, payment history, parties to a transaction, credit/debit card usage, credit report and insurance policy coverage and premiums;
- Information which may be received from consumer reporting agencies, such as credit bureau reports and other Information relating to your creditworthiness; and
- Information which may be received from other sources with your consent or with the consent of the investment consultant/advisor servicing your account.

**Call Monitoring and Recording:** If you communicate with us by telephone, we may monitor or record the call.

**Sharing Of Non-Public Information:** In connection with servicing your account, your non-public personal information may be shared among entities named in this notice, their affiliates, and non-affiliates who provide services regarding or relating to your account, including transfer agents or other service companies. Our affiliates and any non-affiliated service providers are required to protect the confidentiality of your information and to use the information only for the purposes for which disclosure to them is made. Service providers restrict access to non-public personal information about you to those employees who need to know that information to provide products and services to you. We, our affiliates, and the service providers we use maintain physical, electronic, and procedural safeguards to maintain the security of your non-public personal information.

**Disclosure Of Information About Current and Former Customers:** We do not disclose non-public personal Information of current or former customers to any third parties except as required or permitted by law and in order to facilitate the maintenance of accounts, processing, and clearing transactions in the ordinary course of business.

**Protecting Confidentiality And Security:** Beta treats Information in a confidential manner. Our employees are required to protect the confidentiality of Information maintained by the Firm. Employees may access Information only when there is an appropriate reason to do so, such as to administer or offer our products and services. Beta strives to ensure that our systems are secure and that they meet industry standards. Our commitment to data security involves monitoring new advances in security technology and enhancing our security architecture to ensure that we provide a high level of privacy for investment services firms and their customers. 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 systems and data. Third parties who may have access to such personal Information must also agree to follow appropriate standards of security and confidentiality.

**Access To Your Information:** You may access your account Information through a variety of media offered by Beta (i.e., statements or online services). Please contact Beta if you require any additional Information.

**Protection Of Your Information:** You can help safeguard your personal Information by taking a few simple precautions, which include but are not limited to:

- Do not disclose your account Information, personal identification numbers, passwords or code words to others;
- Never provide confidential Information to unknown callers;
- When utilizing the internet, be sure to use a secure browser and exit online applications as soon as you finish using them; and
- Ensure your personal computer has virus protection software and never open email from unknown sources.

**Do Not Call Policy:** This notice is Beta's Do Not Call Policy under the Telephone Consumer Protection Act. We do not solicit via telephone numbers listed on the state or federal Do Not Call lists, unless the law allows. Beta employees receive training on how to document and process telephone marketing choices. Consumers who ask not to receive telephone solicitations from Beta will be placed on the Beta's Do Not Call list and will not be called in any future campaigns.

**Changes To This Policy:** Beta reserves the right to make changes to this policy.

**How To Contact Us About This Privacy Policy:** If you have any questions after reading this Privacy Policy, please contact us by writing to Privacy Management, c/o Compliance Department, Beta Capital Securities, LLC, 777 Brickell Avenue Suite 1201 Miami, Florida 33131. Telephone: 305-358-8844 or Email: [info@betacap.com](mailto:info@betacap.com).