



## PRIVACY POLICY

This notice describes the privacy policy of Sunbelt Securities, Inc., a broker-dealer and Registered Investment Adviser. We are required, by federal law, to provide you with this notice, which outlines our business practices to protect your privacy as well as how we collect and share personal information about you. This policy applies to both current and former clients.

### **We Respect Your Privacy**

Sunbelt Securities, Inc. ("SUNBELT") is committed to protecting your privacy. SUNBELT relies on access to your personal financial information in order to provide you with relevant information regarding the products and services we offer as well as provide you with appropriate investment recommendations. We appreciate and understand that the personal financial information you have entrusted to us is sensitive and confidential and we have adopted policies and procedures which assist us in safeguarding the information you provide to us.

### **Personal information we collect about you**

SUNBELT collects confidential client information from you in a number of ways including information provided on our new account applications and other forms we receive from you, consumer reporting agencies, information obtained through our website, as well as information obtained from other sources.

For example:

- We collect information such as your name, address, telephone number, email address, social security number, date of birth, net worth, income, financial objectives and investment experience through applications and other forms you submit to us
- We may access information regarding your account balances, your use of account(s), and the types of products and services you prefer through your interactions and transactions with us
- We may obtain information about your creditworthiness and credit history from credit reporting agencies
- We may collect background information from and through third-party vendors to verify representations you have made and to comply with various regulatory requirements

### **How we share your personal information**

SUNBELT is registered as a broker/dealer and as an investment adviser with the U.S. Securities and Exchange Commission ("SEC"). SUNBELT is a member of the Financial Industry Regulatory Authority ("FINRA"), the Municipal Securities Rulemaking Board ("MSRB") and the Securities Investor Protection Corporation ("SIPC"). SUNBELT has no affiliated companies.



SUNBELT does not share confidential information about our clients with unaffiliated third parties unless such disclosure is necessary to manage and service your account. For example, we provide access to information about you to unaffiliated third parties in certain limited circumstances, including:

- to help us process transactions for your account(s)
- to help us manage and service your account(s)
- when we contract with third parties to provide account related services such as printing, mailing, and data processing services
- when we believe that disclosure is required or permitted under law. For example, we may be required to disclose your personal information to cooperate with regulatory or law enforcement authorities, to report tax-related information to federal and state governments, to resolve consumer disputes, to perform credit/authentication checks, or for risk control.

SUNBELT recognizes that your relationship with your Financial Professional is important. If your Financial Professional ends his affiliation with us, and (s)he joins another broker-dealer with which we have entered into an agreement limiting the use of information, we will permit your Financial Advisor to retain certain contact information limited to your name, address, telephone number, email address and account title.

#### **How we protect your confidential personal information about you**

We have internal policies and procedures which govern the handling of client information by employees. Third parties which provide account service and support on our behalf may also receive personal information about you, and we require them to adhere to appropriate security standards with respect to such information. Under no circumstances will SUNBELT sell confidential client information to anyone, for any reason, at any time.

#### **Contact Us with Questions**

If you have any questions or concerns, or if you identify any information that you believe is no longer accurate, you may contact your SUNBELT Registered Representative or write to SUNBELT, Attn: Compliance Department, 2700 Post Oak Blvd, Suite 1700, Houston, TX 77056.

#### **SIPC Notice**

Accounts that are carried by National Financial Services, LLC (“NFS”), member of NYSE/FINRA/SIPC, are covered by the Securities Investor Protection Corporation (“SIPC”). SIPC coverage is not the same as FDIC insurance. In the event of a Sunbelt’s failure, SIPC protects its members’ securities customers up to \$500,000 (including \$100,000 for claims for cash). You may obtain an explanatory brochure by contacting SIPC at (202) 371-8300, visiting SIPC’s website at [www.sipc.org](http://www.sipc.org) or by asking your Registered Representative. Each customer account carried by NFS also receives excess SIPC protection. Neither SIPC coverage nor excess SIPC coverage applies to market losses.

Thank you for your business and allowing us to service your needs.