

FACTS	WHAT DOES SIGMA PLANNING CORPORATION (SPC) 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: <ul style="list-style-type: none"> • Contact Information • Financial Information • Investment Objectives and Experience • Account Transactions and Activity • Social Security Number • Other Personal 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 SPC chooses to share; and whether you can limit this sharing.	
Reasons we can share your personal information		Does SPC share?
For our everyday business or marketing purposes — such as to process and service your transactions, maintain your account(s), respond to court orders or regulatory and/or legal investigations, report to credit bureaus, perform credit checks, to print and mail your statements, or to offer our products and services to you		Yes
For joint marketing with other financial companies — to offer their products and services to you in instances where your representative maintains an agreement with certain banks, credit unions, and other financial institutions		Yes
For our affiliates' everyday business purposes — information about your transactions and experiences		Yes
For our affiliates' everyday business purposes — information about your creditworthiness		No
For our affiliates and non-affiliates to market to you — to offer our products and services to you or in the event that your investment advisor representative leaves SPC, retires, or sells their book of business to another representative		Yes
Can you limit this sharing?		No
Can you limit this sharing?		No
Can you limit this sharing?		No
Can you limit this sharing?		N/A
Can you limit this sharing?		Yes
To limit our sharing or for questions	<ul style="list-style-type: none"> • Call us at 734-205-3844 Please note: If you are a new customer, we can begin sharing your information 30 days 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 any time to limit our sharing.	
Who we are		
Who is providing this notice?	SPC, a registered investment advisor	
What we do		
How does SPC 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 SPC collect my personal information?	We collect your personal information, for example, when you: <ul style="list-style-type: none"> • Open an account • Request investment advice • Direct us to buy or sell securities • Give us your contact information • Sign an investment advisory contract We also collect your personal information from others, such as credit bureaus, affiliates, or other financial companies.	

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Why can't I limit all sharing?	Federal law gives you the right to limit only: <ul style="list-style-type: none">• 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. See below for more concerning your rights under state law.
What happens when I limit sharing for an account I hold jointly with someone else?	Your choice to limit sharing will not apply for everyone on a joint account. Each account owner needs to separately limit sharing, if applicable.

Definitions

Affiliates	Companies related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none">• SPC's affiliates include Sigma Financial Corporation, a FINRA-registered broker/dealer; Parkland Securities, LLC, a FINRA-registered broker/dealer; Sigma/Sammons Insurance Agency, Inc., an insurance agency; Sigma Agency of Texas, Inc., an insurance agency; Sigma Agency, Inc., an insurance agency; and B/D Ops, LLC. Affiliates also include investment advisor representatives of SPC.
Non-affiliates	Companies not related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none">• Non-affiliates may include your investment advisor representative's company, your representative's new broker/dealer or investment advisor firm if your representative leaves SPC or its affiliates, or another broker/dealer or investment advisor firm designated by your representative if he or she retires and/or sells their book of business to another representative. Your investment advisor representative becomes a non-affiliate upon resignation or termination from SPC or its affiliates.
Joint marketing	A formal agreement between non-affiliated financial companies that together market financial products or services to you. <ul style="list-style-type: none">• SPC's joint marketing partners include banks, credit unions, retirement plans, and other financial institution programs.

Other important information

Important Information for AK, CA, MA, ND, and VT customers:

The states of AK, CA, MA, ND and VT have imposed more restrictive privacy laws than the federal privacy laws. If your account has an AK, CA, MA, or ND address, we will automatically opt you out of sharing your information with non-affiliates for marketing purposes unless you provide us with written approval to do so. If your account has a VT address, we will only disclose your name, address, other contact information, and information about your transactions or experience with non-affiliated third parties with whom we have joint marketing agreements.

Broker Protocol

SPC is a signatory to the Protocol for Broker Recruiting, an agreement among broker/dealer and investment advisory firms that mandates what client information can be maintained by your investment advisor representative and provided to their new broker/dealer or investment advisory firm if the representative leaves SPC or its affiliates. With the exception of clients residing in AK, CA, MA, ND and VT (see above), SPC will allow your representative to share your name, address, phone number, email address, and your account title with their new broker/dealer, investment advisor firm, and/or successor representative unless you choose to opt out of this information sharing. In addition to the Protocol for Broker Recruiting information, SPC allows its departing representatives to keep their existing records and files regarding your client relationship.

For residents of AK, CA, MA, ND and VT, if you would like your investment advisor representative to be able to share your name, address, phone number, email address, and your account title with their new firm and/or successor representative for ease in transferring your account, as well as keep your records and files if they are no longer affiliated with SPC and its affiliates, please see the section titled "To limit our sharing or other questions" for instructions on how to obtain an opt-in form to allow us to share this information.