

<b>FACTS</b>	<b>What Does Regal Advisory Services, Inc. (“Regal”) Do With Your Personal Information?</b>
<b>The Law</b>	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.
<b>Our Policy</b>	<p>The types of personal information we collect and share depend on the product or service you have with us. This information can include:</p> <ul style="list-style-type: none"> <li>• Income</li> <li>• Employment and residential information</li> <li>• Social security number</li> <li>• Cash balance</li> <li>• Security balances</li> <li>• Transaction detail history</li> <li>• Investment objectives, goals, and risk tolerance</li> </ul> <p>When you are <i>no longer</i> a client, we continue to share your information as described in this notice.</p>
<b>Your Rights</b>	All financial companies need to share customers’ personal information to run their everyday business. We list below the reasons financial companies can share their customers’ personal information; the reasons Regal chooses to share; and whether you can limit this sharing.
<b>Definitions</b>	
Everyday Business Purposes	The actions necessary by financial companies to run their business and manage customer accounts, such as providing investment advisory and financial planning advice, processing securities transactions, and otherwise providing financial services to you.
Affiliates	<p>Companies related by common ownership or control. They can be financial and nonfinancial companies. Regal has the following affiliate:</p> <ul style="list-style-type: none"> <li>• Regal Securities, Inc.</li> </ul>
Non-Affiliates	Companies not related by common ownership or control. They can be financial and nonfinancial companies. Regal does not share information with non-affiliates for marketing purposes.
Joint Marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. Regal does not engage in joint marketing with non-affiliates.

Reasons we can share your personal information	Does Regal share?	Can you limit this sharing?
For our everyday business purposes—such as to provide advice, process your transactions, and 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	Yes	No
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
<b>Contact Us</b>	Call Regal at 877-488-6547	

Sharing Practices	
How often does Regal notify me about their practices?	We must notify you about our sharing practices when you become a client or if we change our information sharing policies and procedures.
How does Regal 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 Regal collect my personal information?	<p>We collect your personal information, for example, when you</p> <ul style="list-style-type: none"> <li>• establish an investment advisory relationship</li> <li>• contract for financial planning services</li> <li>• open an account or deposit money with custodians</li> <li>• purchase or sell securities with executing broker-dealers</li> </ul> <p>We also collect your personal information from others, such as custodians, broker-dealers, or other companies.</p>
Why can't I limit all sharing?	<p>Federal law gives you the right to limit sharing only for</p> <ul style="list-style-type: none"> <li>• affiliates' everyday business purposes—information about your creditworthiness</li> <li>• affiliates to market to you</li> <li>• non-affiliates to market to you</li> </ul> <p>State laws and individual companies may give you additional rights to limit sharing.</p>

## If you want to limit our sharing

Contact us	<p><i>By telephone:</i> Call 1-877-488-6537 ext. 3 for Relationship Management</p> <p><i>By email:</i> Email Relationship Management at <a href="mailto:rm@regalsecurities.com">rm@regalsecurities.com</a></p> <p><i>By mail:</i> Mark your choices below, fill in and send form to Regal Advisory Services, Inc.</p>		
<i>Your choices will apply to everyone on your account.</i>	<p>Check any/all you want to limit:</p> <p><input type="checkbox"/> Do not share information about my creditworthiness with your affiliates for their everyday business purposes.</p> <p><input type="checkbox"/> Do not allow your affiliates to use my personal information to market to me. (I will receive a renewal notice for this use for marketing in 5 years.)</p> <p><input type="checkbox"/> Do not share my personal information with non-affiliates to market their products and services to me.</p>		
	Your Name		<p>Mail to:</p> <p>Regal Advisory Services, Inc. 950 Milwaukee Ave., Suite 101 Glenview, IL 60025</p>
	Your Address		
	Your Account Number(s)		

## Other important information

Our approach may differ from various states.

Regal Securities has entered into a Protocol for Broker Recruiting with certain other brokerage firms under which your advisor may take your personal information, specifically your name, address, telephone number, email address, and account title, in the event your financial advisor leaves Regal Securities and joins one of the other member brokerage firms.