



LaSalle St. Securities, LLC & LaSalle St. Investment Advisors Privacy Policy

LaSalle St. Securities (“LSS”) dedicates itself to protecting customer information. We value your trust and want you to understand what information we obtain, how LSS uses this information, and how we protect it. LSS will not share non-public information about customers with third parties with the exception of the securities vendors we use to serve your securities brokerage needs, by law your registered representative(s) or others as further described below. We have created our Privacy Policy to communicate our privacy commitment to you.

- It is LSS’ policy not to sell personal information to outside marketers for payment or any other compensation.
- We will at all times maintain physical, electronic and procedural safeguards to protect customer/personal information we obtain.
- We will inform customers of our Privacy Policy annually and what changes, if any, are made.

In order to provide you with products and services you have requested for your securities brokerage account, LSS may receive non-public information about you from the following:

- New Account(s) forms containing name, address, phone number, social security number, birth date, income, net worth, bank reference, and employment.
- Transaction activity in your account(s) or outside companies such as mutual fund and insurance companies.
- Credit reporting agencies for verification of accuracy of application data and/or to access credit worthiness for credit products.
- From other sources, with your consent, for example transferring your account to LSS.
- From other companies to assist us in marketing our products and services we offer jointly with other financial companies, for example mutual fund companies and insurance companies.

How Your Information is Protected

LSS is committed to protecting your non-public information and considers this safeguarding of information a priority. We maintain procedures and technology designed to prevent access to your personal information. We employ physical, electronic, and procedural protections in accordance with industry standards.

We restrict access to personal information to employees, our registered representatives and service providers for legitimate business purposes. We may share personal information we collect about our customers, prospects and former customers to service providers such as:

- Unaffiliated service providers such as securities clearing houses, printers for delivery of statements and other administrative services associated with your account(s).
- Government agencies, such as tax reporting or court orders.
- Other organizations such as consumer reporting agencies.
- Other organizations, as permitted by law that protect your privacy such as fraud prevention.
- Our Registered Representative(s) who may be independent correspondents of LSS.

Use of Information By Your Registered Representative

We know that for many of our customers, their ongoing relationship with their Registered Representative is of major importance. Therefore, we permit our registered representatives to maintain his/her own database and file on his/her customers which may include you. These files may contain some or all of the same information, confidential or otherwise, we possess about you. We further permit our registered representatives to use this information in servicing your accounts(s) and to take this information with them and share it with a new, unaffiliated broker-dealer, should your registered representative end his/her registration/affiliation with LSS. We do this to enable former registered representatives to provide continued, uninterrupted service to you, our customer, should you desire to transfer your accounts to a new broker-dealer. If you wish to opt out of this information sharing arrangement with our registered representatives, please inform us either by writing to us at the address below or calling our Compliance Department at (800) 777-7865.

On-Line Privacy

In addition to the privacy guidelines outlined above, the following on-line principles describe LSS’ commitment to protecting your information when accessing us through the World Wide Web. We employ proven protection such as: firewalls; encryption techniques; and authentication verification techniques.

Connection to LaSalle St. Securities, LLC

LSS offers different options for accessing your account information. You can review your information independently using your statements, Internet services, or by telephone through your investment professional. Specific address and telephone numbers are listed on your statements and other correspondence.

Even if you are a former LSS customer, our Privacy Policy will continue to apply to you.

For More Information Please Contact:

Compliance Department

940 N. Industrial Dr.

Elmhurst IL 60126-1131

www.LaSalleSt.com

800-777-7865