

**FACTS****WHAT DOES Aufhauser Securities Inc. 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:

- Social Security number
- Account balances and account transactions
- Assets and transaction history

When you are no longer our customer, we continue to share your information as described in this notice.

**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 Aufhauser Securities Inc. chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does <b>Aufhauser</b> share?	Can you limit this sharing?
For our everyday business purposes— such as to process your transactions, 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	No	Yes
For joint marketing with other financial companies	No	Yes
For our affiliates' everyday business purposes— information about your transactions and experiences	Yes	Yes
For our affiliates' everyday business purposes— information about your creditworthiness	No	Yes
For our affiliates to market to you	No	Yes
For non-affiliates to market to you	No	Yes

**Questions?**

Call (212) 246-0205

## Who we are

Who is providing this notice?

Aufhauser Securities Inc.

## What we do

How does **Aufhauser Securities Inc.** 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 **Aufhauser** collect my personal information?

We collect your personal information, for example, when you

- Open an account
- Provide account information
- Make deposits or withdrawals from your account
- Use your credit or debit card
- Make a wire transfer

We also collect your personal information from third parties, such as credit bureaus, affiliates, or other companies.

Why can't I limit all sharing?

Federal law gives you the right to limit only

- 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.

## Definitions

Affiliates

Companies related by common ownership or control. They can be financial and non-financial companies.

- **Aufhauser Securities Inc.** affiliates include **Aufhauser Corporation** and **Industrial Raw Materials LLC**. But these companies do not have access to your information.

Non-affiliates

Companies not related by common ownership or control. They can be financial and non-financial companies.

- **Pershing LLC**, our clearing broker, has access to your personal information.

Joint marketing

A formal agreement between non-affiliated financial companies that together market financial products or services to you.

- **Aufhauser** does not jointly market.

## Other important information

This notice applies to individual consumers who are customers or former customers. This notice replaces all previous notices of our consumer privacy policy, and may be amended at any time. We will keep you informed of changes or amendments as required by law.