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PRIVACY POLICY

At DAI Securities, LLC and DAI Wealth, Inc. (each and together “DAI”) we value our customers’ trust and are committed to the responsible management, use and protection of personal information. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully in order to better understand what we do.

THE INFORMATION WE COLLECT

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, Date of Birth, Address, Contact Information and Income
- Assets and Investment Experience
- Account Transactions and Retirement Assets
- Tax Reporting and Investment Performance Information

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

REASONS WE CAN SHARE YOUR PERSONAL INFORMATION

All financial companies need to share customers’ personal information to run their everyday business. Below, we list the reasons DAI may share your personal information:

For our everyday business purposes

To administer, manage and service customer accounts, process transactions and provide related services for your accounts, it is necessary for us to provide access to personal information within the DAI companies and to certain nonaffiliated companies. We may share your personal information:

- To process your transactions, maintain your account(s), respond to court orders and legal investigations, report to credit bureaus, government entities and our outside auditors.
- With third party administrators and vendors for the purposes of providing current and future information on your account (such as transaction history, tax information and performance reporting).
- With affiliated and nonaffiliated entities that perform services for us or function on our behalf (such as account aggregation providers, clearing broker-dealers, investment companies, and insurance companies).
- With our affiliated broker-dealer, DAI Securities, LLC, for the purpose of compliance with its supervisory requirements.

For our marketing purposes

- To offer our products and services to you.

For our affiliates to market to you

- DAI does not share your personal information with nonaffiliates to market to you.

For joint marketing with other financial companies

Federal and certain state laws give us the right to share your information with banks, credit unions, retirement plans and other financial companies with where a formal agreement exists between us and them to provide or market financial products or services to you. However, we will not share your information with these financial companies for marketing purposes if your financial advisor is not affiliated with them without your consent, but we may share information with these financial companies where necessary to service your accounts.

For clients of Independent Registered Representatives and Investment Advisor Representatives of DAI

- If your financial advisor terminates his or her relationship with us and moves to a New Firm, we or your financial advisor may disclose your personal information to the New Firm, unless you instruct us not to. If you do not want us or your financial advisor to disclose your personal information to the New Firm when your financial advisor terminates his or her relationship with us, you may request that we and your financial advisor limit the information that is shared with the New Firm.
- Your personal information may also be shared with certain entities that are owned, controlled by or affiliated with your financial advisor, such as an independent insurance agency, accounting firm or independent investment advisory firm.
- In the event your financial advisor (or his/her estate) agrees with an unaffiliated financial advisor to sell all or some portion of his/her securities, advisory or insurance business your personal information may be shared with the acquiring financial advisor and his/her New Firm.

If your primary address is in a state that requires your affirmative consent to share your personal information with the New Firm (such as California, Massachusetts, Maine, New Mexico, North Dakota or Vermont), then you must give your written consent before we will allow your financial advisor to take any of your personal information to that New Firm.

HOW YOUR PERSONAL INFORMATION IS COLLECTED AND PROTECTED

How does DAI collect my personal information?

We collect your personal information, for example, when you:

- Open an investment account or deposit money
- Seek advice about your investments
- Give us your account information or provide employment information
- Make a wire transfer

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

How does DAI 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 ongoing employee training, computer safeguards and secured files and buildings.

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.

- Our affiliates include companies engaged in the financial services industry with DAI; financial companies such as DAI Securities, LLC, DAI Wealth, Inc. and DAI Agency, Inc.

Nonaffiliates

Companies not related by common ownership or control. They can be financial and nonfinancial Companies.

- DAI does not share with nonaffiliates so they can market to you.

Joint Marketing

A formal agreement between nonaffiliated financial companies that together market financial products or services to you.

- DAI does not engage in jointly market.

TO LIMIT OUR SHARING

If you prefer that we not disclose your non-public personal information to persons or companies that are not DAI affiliates, you may opt out of those disclosures, except as to disclosures that are required or permitted by law. If you wish to opt out of any such disclosures of your non-public personal information, you may do so by completing the Non-public Personal Information Opt Out Form and returning it to us as instructed on the Form. Please contact us at the number below to receive a copy of our Opt Out Form.

Please be aware, however, that we may not be able to service your needs as effectively if you opt out of information sharing. Depending on specific circumstances, we may need to close your account or cease performing certain services or cease effecting certain transactions for you if you do not allow us to share information with persons or companies whose assistance is critical. Your DAI Registered Representative or Investment Adviser Representative can discuss these matters with you as they relate to your specific circumstances.

In addition, DAI has signed the Protocol for Broker Recruiting ("Protocol") which allows the financial advisor servicing your account to take certain limited information in the event he/she leaves DAI and joins another firm which has also signed the protocol. The information your financial advisor can take is limited to your name, your address, your phone number, your email address and the title of your account. If you choose to Opt-Out DAI will notify your financial advisor of your decision to keep the information confidential and not let it be taken by your financial advisor to his/her new firm.

QUESTIONS

If you have questions or concerns, please contact us at:

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