

Northeast Securities Privacy Policy

Northeast Securities Inc. is required by SEC Regulation S-P to inform customers about our policy regarding how we handle non-public personal information.

Northeast and its clearing agents have a long standing policy of protecting the confidentiality and security of personal and financial information we collect from our clients.

How we collect information

We collect non-public personal information directly from you when you apply for, access to and use financial products and services offered by Northeast and/or our clearing firms. This information is obtained directly from you with your consent, and is necessary to provide you with services you have requested. The type of information we require depends on the nature of your request but in most cases includes your name, mailing address, phone number(s), account number(s), and social security number. We may also collect information about you when you have entered into, viewed and or downloaded information from our website. All information we collect from you is securely maintained and is kept strictly confidential.

Why we collect information

We limit the collection and use of information to the minimum required to deliver superior services to you and as required by law. Such services include maintaining your account, processing transactions requested by you and administering our business. We may verify this information or get additional information from our customer reporting agencies or public sources.

Disclosure of Information

We restrict access to non-public personal information to those employees and authorized agents who need to know that information to provide products or services to you. Our employees and authorized agents are required to protect the confidentiality of your information and to comply with our established policies. We maintain physical, electronic and procedural safeguard that comply with federal standards to guard your non-public personal information.

In some cases we may need to disclose your non-public personal information when either authorized by you, or when required or permitted by law. You may request that we disclose your information to credit agencies or other financial institutions. We may be legally required to disclose your information under court order or in response to government inquiry. In these cases we will only give information required and we will take every precaution to make sure all requests for information are legitimate.

We may contract with outside service providers (unaffiliated third parties) in order to better service you, and in the process will need to supply them with information we receive from you. Our service providers are under contractual obligations to protect your information in a manner that is consistent with the privacy policy we have established.

We will not make any disclosure of information to other companies who want to sell their products to you. For example, we will not sell customers lists and will not sell your name to a catalogue company.

Opt Out Policy

You have the right to opt out and not have your non-public personal information disclosed to a nonaffiliated third party. If you would like to opt out please contact the Compliance Department at (516) 396-1611 or call toll free at 1-888-734-3575.

To Whom This Policy Applies

This policy applies to current as well as former clients of Northeast Securities Inc.; Northeast Asset Management, Inc.; Benchmark Capital Advisers; H-T Capital, Schuster Institutional Services; BR Institutional Group and all other businesses, divisions and affiliates.

If you have any questions about this privacy policy or concerns with how your information is handled please feel free to contact the Compliance Department at (516) 396-1611.