



## **Privacy Statement**

As providers of products and services that involve compiling personal and sometimes sensitive information, protecting the confidentiality of information has been, and will continue to be, a top priority at Saxony Securities, Inc (SSI). This brochure explains how SSI handles and protects the personal information we collect and describes our privacy practices for both current and former customers.

### **HOW DO WE PROTECT THE CONFIDENTIALITY AND SECURITY OF YOUR INFORMATION?**

We maintain physical, electronic, and procedural safeguards to ensure that your personal information is treated responsibly and authorize only those employees who need that information to provide products or services to you, or to conduct SSI business. Additionally, we safeguard customer information in accordance with applicable data security regulations.

### **WHAT PERSONAL INFORMATION DO WE COLLECT ABOUT YOU?**

SSI collects information that helps to serve your financial needs, provide high standards of customer service, and fulfill legal and regulatory requirements and may include, but is not limited to information provided on applications and related materials, for example, name, address, social security number, and financial information; and/or information about your transactions with us, our affiliates, or others such as products and services purchased and account balances.

### **TO WHOM DO WE DISCLOSE INFORMATION AND WHY?**

First and foremost, we do not sell lists of our customers, nor do we disclose customer information to marketing companies outside of SSI. We will share customer information only when we are required by law or regulation to disclose information to third parties - for example, in response to a subpoena; to prevent fraud; to comply with rules of, or inquiries from industry regulators. Furthermore, as permitted by federal and state laws, we may share or exchange information with companies and individuals engaged to work with us, such as: Third-party administrators and vendors hired to effect, administer, or enforce a transaction that you request or authorize; Financial service entities, such as banks, insurance companies, or other securities broker-dealers or investment advisers with whom we have joint marketing agreements; Registered representatives assigned to service your account through SSI with whom we have independent contractor agreements.

### **OPTING OUT:**

If the registered representative servicing your account leaves SSI to join another broker-dealer, he or she will be able to maintain copies of your information so they can continue to serve you at the new firm. The information maintained may be shared by the representative with their new firm in order for them to continue servicing your accounts at the new firm. At that point, the representative's continuing use of your information will be subject to the new firm's privacy policy. If you do not wish to have your information shared (other than as prescribed by law) with any nonaffiliated third parties, including the registered representative servicing your account when he/she leaves us to join another firm, or you have questions about our privacy policy please contact us at Saxony Securities, Inc. Attn: Compliance Department, 11152 South Towne Square, St. Louis, MO 63123 or call us at (314)963-9336.

### **QUESTIONS?**

We value our customers and want you to understand how we use the information we collect. If you have any questions regarding our privacy policy, please e-mail us at [compliance@saxonysecurities.com](mailto:compliance@saxonysecurities.com) or contact us at (314) 963-9336.