Multiple Products or Services

If we provide you with more than one financial product or service, you may receive more than one privacy notice from us. We apologize for any inconvenience this may cause you.

If you have any questions after reading this Privacy Policy, please contact us by writing to Privacy Management, c/o Legal Department, Linsco/Private Ledger Corp., One Beacon Street, 22nd Floor, Boston, MA 02108-3106.

This Privacy Policy applies to consumers who are customers or former customers of the LPL family of affiliated companies in the United States. The LPL family of affiliated companies are Linsco/Private Ledger Corp., its subsidiaries and affiliates, including Independent Advisers Group Corporation, LPL Insurance Services, Inc., LPL Insurance Services of Colorado, Inc., Private Ledger Insurance Services of California, Inc., Private Ledger Insurance Services of Massachusetts, Inc., Private Ledger Insurance Services of Nevada, Inc., Private Ledger Insurance Services of New Mexico, Inc., Private Ledger Insurance Agency of Ohio, Inc., Private Ledger Insurance Services of Oklahoma Agency, Inc., LPL Insurance Services of Texas, Inc., Linsco/Private Ledger Corp. of Wyoming, Inc., The Private Trust Company, N.A., Innovex Mortgage, Inc. and Linsco/Private Ledger Insurance Associates, Inc..

LPL Financial Services

Securities offered through Linsco/Private Ledger
Member NASD/SIPC

CP010BR2-0804

security privacy protect

What is Our Commitment to You?

Linsco/Private Ledger Corp. (LPL) and its family of affiliated companies are committed to maintaining the trust and confidence of our customers. We want you to understand how we protect your privacy when we collect and use information about you, and the measures we take to safeguard that information. Keeping customer information secure and private is a priority for us.

LPL Financial Services

Linsco/Private Ledger

The following describes our Privacy Policy. Please take a moment to review it and feel free to contact us with any questions. Thank you for the trust you have placed in us. We look forward to working very hard to continue to earn your trust.

What types of non-public personal information do we collect about you?

In the course of providing service to you, we collect non-public personal information about you from the following sources:

- Information from you on account applications and other standard forms (for example; name, address, social security number, assets, types and amounts of investments, transactions, and income);
- Information about your LPL transactions, our affiliates or others including those companies that work closely with us to provide you with diverse financial products and services (for example; your account balance, payment history, parties to transactions, types and amounts of investments, transactions, and credit card usage);
- Information we receive from consumer reporting agencies (for example; your credit worthiness and credit history);
- Information obtained when verifying the information you provide on applications or other forms (this may be obtained from your current or past employers, or from other institutions where you conduct financial transactions).

How do we protect the confidentiality and security of your non-public personal information?

Keeping your information secure is one of our most important responsibilities. We restrict access to non-public personal information about you to those employees and agents who need to know that information in order to provide products or services to you. We maintain physical, electronic, and procedural safeguards that comply with federal standards to guard your non-public personal information.

Do we disclose to any non-affiliated third parties your non-public personal information?

We do not sell, share or disclose your non-public personal information to non-affiliated third party marketing companies.

We may disclose all of the information we collect, as described above in the “What types of non-public personal information do we collect about you?” section to companies that perform marketing or other services on our behalf, or to other financial institutions with whom we have joint marketing agreements. All of these companies are contractually obligated to keep the information that we provide to them confidential and use the information only for the services required and as allowed by applicable law or regulation, and are not permitted to share or use the information for any other purpose.

We may disclose non-public personal information about you in connection with the transfer of your account to another financial institution at your request or the request of your representative.

We may also disclose non-public personal information about you under circumstances as permitted or required by law. These disclosures typically include information to process transactions on your behalf, to conduct our operations, to follow your instructions as you authorize, or to protect the security of our financial records.

Do we disclose within our family of affiliated companies your non-public personal information?

In the course of providing services to you, we are permitted by law to share within our family of affiliated companies information about our transactions or experiences with you (such as account balance or payment history).

What is our policy relating to former customers?

If you decide to close your account(s) or become an inactive customer, we will adhere to the privacy policies and practices as described in this notice.

We reserve the right to change this policy at any time and you will be notified if any changes occur.