

Elmcore Securities LLC Privacy Notice

FACTS	WHAT DOES ELMCORE SECURITIES LLC 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: <ul style="list-style-type: none"> ▪ Social Security number ▪ Assets ▪ Transaction history ▪ Income ▪ Risk tolerance ▪ Investment experience 	
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 Elmcore Securities LLC chooses to share; and whether you can limit this sharing.	
Reasons we can share your personal information	Does Elmcore Securities LLC 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	Yes	No
For joint marketing with other financial companies	No	We do not share
For our affiliates' everyday business purposes —information about your transactions and experiences	Yes	No
For our affiliates' everyday business purposes —information about your creditworthiness	No	We do not share
For our affiliates to market to you	Yes	Yes
For nonaffiliates to market to you	No	We do not share
To Limit Our Sharing	<ul style="list-style-type: none"> ▪ Call (312) 488-4008 – the automated menu will prompt you through your choice(s) or hit “0” to speak with an operator; or, ▪ Mail the form below. <p>Please note: If you are a new customer, we can begin sharing your information 30 days from the date we sent this notice. When you are no longer our customer, we continue to share your information as described in this notice.</p> <p>However, you can contact us at any time to limit our sharing.</p>	
Questions?	Call (312) 488-4008 or email privacy@elmcore.com .	

Mail-in Form		
If you have a joint account, your choice(s) will apply to everyone on your account, unless you mark below: <input type="checkbox"/> Apply my choices only to me.	Mark any/all you want to limit: <input type="checkbox"/> Do not allow your affiliates to use my personal information to market to me.	
	NAME: ADDRESS: CITY, STATE, ZIP:	Mail To: Elmcore Securities LLC 500 W. Madison Street Suite 1000 Chicago, IL 60661

Who We Are	
Who is providing this notice?	Elmcore Securities LLC, its parent company, Elmcore Group Inc., and any divisions, subsidiaries, companies, and affiliated entities of Elmcore Securities LLC or Elmcore Group Inc., collectively “Elmcore”.
What We Do	
How does Elmcore Securities LLC 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. For more information, please refer to the Elmcore Securities LLC Disclosure Statements.
How does Elmcore Securities LLC collect my personal information?	We collect your personal information, for example, when you: <ul style="list-style-type: none"> ▪ Open an account ▪ Tell us about your investment portfolio ▪ Give us your contact information ▪ Show us your government issued ID ▪ Direct us to sell your securities ▪ Pay us by check ▪ Seek financial or tax advise ▪ Seek advice about your investments <p>We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.</p>
Why can't I limit all sharing?	Federal law gives you the right to limit only: <ul style="list-style-type: none"> ▪ Sharing for affiliates' everyday business purposes—information about your creditworthiness ▪ Affiliates from using your information to market to you ▪ Sharing for nonaffiliates to market to you <p>State laws and individual companies may give you additional rights to limit sharing. See below for more on your rights under state law.</p>
What happens when I limit sharing for an account I hold jointly with someone else?	Your choices will apply to everyone on your account – unless you tell us otherwise.
Definitions	
Affiliates	Companies related by common ownership or control. They can be financial or nonfinancial companies. <ul style="list-style-type: none"> ▪ <i>Our affiliates include companies under common control or ownership of Elmcore and its management and shareholders.</i>
Nonaffiliates	Companies not related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> ▪ <i>Elmcore Securities LLC does not share with nonaffiliates so they can market to you.</i>
Joint Marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. <ul style="list-style-type: none"> ▪ <i>Elmcore Securities LLC doesn't jointly market.</i>
Other Information	
<p>For Nevada Residents. We are providing you this notice pursuant to state law. You may be placed on our internal Do Not Call List by calling (312) 488-4008 or emailing us at privacy@elmcore.com. You may also contact: Bureau of Consumer Protection, Office of the Nevada Attorney General, 555 East Washington Street, Suite 3900, Las Vegas, NV 89101; Phone Number: (702) 486-3132; Email: Aginfo@ag.nv.gov.</p> <p>For Vermont Residents. We will not disclose information about your creditworthiness to our affiliates and will not disclose your personal information, financial information, credit report, or health information to nonaffiliated third parties to market to you, other than as permitted by Vermont law, unless you authorize us to make those disclosures. Additional information concerning our privacy policies can be found at www.elmcore.com or call (312) 488-4008 or email privacy@elmcore.com.</p> <p>For California Residents. In accordance with California law, we will not sell, share, transfer, or otherwise disclose nonpublic personal information to or with any nonaffiliated third parties without your explicit prior consent, except as allowed by law. Among our affiliates, we will limit information sharing to the extent required by California law.</p>	