



## Notice of Privacy Policy June 2011

Wall Street Financial Group, Inc. (“WSFG”), an independent broker/dealer and Registered Investment Advisory firm, is committed to safeguarding the confidential information of its clients. Our policy with respect to your personal information is listed below and applies to all current and former customers.

**Information We Collect:** The information that we collect is used in conjunction with the regular process of business. We collect information about you from several sources. For example:

- Information you provide us on applications and other forms, such as your name, address, social security number, marital status, employment, assets, income and health information
- Information provided to us by our clearing firms, third-party service providers, mutual fund companies, insurance companies, our Representatives, your former broker/dealer and consumer reporting agencies about your accounts and transactions. For example: account numbers and account activity.

**Information We Share With Others:** We do not share your personal information for marketing purposes. If the Firm’s policy were to change, we would be required by law to notify you prior to sharing your information. We do share your personal information as necessary to conduct business on your account:

- With our employees and Representatives as needed to open, maintain and service your account(s)
- With unaffiliated third parties, such as our clearing firms, fund companies and banks in order to carry out your instructions.
- With unaffiliated third party vendors in order to create and maintain records of your account. For example: information regarding your account is provided to a third party vendor to create a statement.
- If your Representative leaves our firm, they may take certain information with them so they may service your account.
- As required to do so by law. For example: by subpoena, or as required to comply with a regulatory agency or government order.

**Protecting the Confidentiality and Security of Your Information:** We have physical, electronic and procedural security systems in place to protect the confidentiality of your personal information

**Opt-In Information:** Should your Representative leave our Firm and you live in an “opt-in” state (i.e. California, Vermont), we must receive affirmative consent from you in writing prior to sharing your nonpublic personal information with your Representatives new Firm. You must contact the Compliance Department at 800.836.4652 to notify us of your decision.

**Opt Out Information:** If you do not live in an “opt-in” state and do not want your Representative to take your nonpublic information with them should they leave our Firm, you have the right to opt-out of such disclosure. Should you decide that you do not wish for us to share your information with an affiliated or non-affiliated third-party you must contact the Compliance Department at 800.836.4652 to notify us of your decision. Please note that this may affect our ability to maintain your account.

**Other Important Notices:** If you have any questions regarding this privacy policy, complaints or concerns they may be addressed with the Compliance Department at 800.836.4652. Additionally, if you have any questions regarding your account please contact your Representative so that they may assist you.

For more information about Securities Investor Protection Act (SIPC), including the SIPC brochure, you may contact SIPC at [www.sipc.org](http://www.sipc.org) or 202.371.8300.

Should you like information regarding Regulation Public Disclosure, or a copy of the Public Disclosure Program Investor Brochure contact FINRA at 800.289.9999 or visit their web site at [www.finra.org](http://www.finra.org).

To help the government fight the funding of terrorism and money laundering, your name will be verified by searching the Treasury’s Office of Foreign Asset Control’s “Specially Designated Nationals and Blocked Persons” list.

Under certain circumstances, WSFG receives marketing reimbursements from some companies with which we work. Please consult our website at [www.wsfg.com](http://www.wsfg.com) or contact 800.836.4652.

If your account becomes inactive for a certain period of time your account balance and outstanding credits may be transferred to a state unclaimed property administrator. The period of time is specific by state law and varies from state to state.