

PRIVACY NOTICE

Privacy Notice

We, at Spartan Securities Group, Ltd., recognize the importance of respecting the privacy of our customers. Your customer information is carefully managed within our company and we want you to know the steps we take to protect the privacy of the customer information we collect.

This policy covers Customer Information. Customer Information means information personally identifiable with a specific customer, or about a customer's current, or former relationship with our company. We are providing this specific customer, or about a customer's current, or former relationship with our company. We are providing this policy to you in accordance with the federal Financial Privacy Law, 15 U.S. C. 6801-6810.

Information Security

The information we gather helps us identify who you are, assess your needs and provide excellent customer service. We do not sell your information to other companies for any reason.

Managing the security of customer information is one of our most important responsibilities. We value your trust and handle all information we gather that concerns you, very carefully. All of our associates who have access to your information are bound by a code of conduct that requires the confidential treatment of all customer information. These associates are individuals who need to know that information to provide products and services to you. Our associates are subject to disciplinary action if they fail to follow this code. Additionally, we maintain procedural electronic and physical safeguards to protect customer information.

Information We Collect

We collect and utilize various types of information which allows us to service your account and to better understand your needs. The Customer Information we collect and maintain typically consists of the following:

- Information we receive from you on applications, forms and other information you provide to us in writing by telephone, electronically, or by any other means. This information may include your name, address, social security number, assets, income, debt or any other information.
- Information about your transactions and account history, such as account balances, trading activity, payment history and parties to transactions.
- Information we receive from a consumer-reporting agency.

Information We Disclose

We may share information we obtain about you with other affiliates such as your name, address, social security number, assets and income. Sharing this information can make it easier for you to do business with us. For example, if you have an account with one of our affiliates and we want to open an account with another affiliate, we may share information about you and your transactions. This could save you time in opening the new account by not having the need to provide the same information twice.

Accuracy of Information

We strive to keep your account information accurate and up-to-date. You can access your account information in a number of ways, through your account statements, by telephone with one of our Registered Representatives or at our offices. If your account information is ever inaccurate, incomplete or in need of updating, please contact us immediately at the telephone number on your account statement or trade confirmation, write to us or stop in at our office and we will update your account information. If you

have any questions or feel that we have not handled your information properly, please contact us and we will provide an answer or investigate your inquiry.

Notifications

We will provide you with a notice of our privacy policy annually as long as you maintain an account with us. We reserve the right to make changes to this policy periodically. Our privacy policy will continue to apply to you even if you are no longer a customer.

OPT OUT NOTICE

Please complete this form and return it to:

SPARTAN SECURITIES GROUP, LTD.
100 First Avenue S, Ste 287
St. Petersburg, FL 33701

First Name

Last Name

Street Address

City, State, Zip Code

Social Security Number

Brokerage Account Number

Brokerage Account Number

R/A Account Number

R/A Account Number

Signature

Date