



## **PRIVACY POLICY**

### **2019**

SEC Regulation S-P requires us to provide a statement to you regarding the use of your non-public financial information. At Brock Securities LLC, we understand that privacy is an important issue for our clients. It is our policy to respect the privacy of all of our clients and to protect the security and confidentiality of non-public personal information relating to those clients. Please note that this policy applies to former, as well as current clients.

#### **Personal Information Collected**

The information collected by Brock Securities LLC may come from the following sources:

- **Information received from you, such as your name, address, telephone number, social security number, occupation and income.**
- **Information relating to your transactions, including account balances, positions and activity.**
- **Information which may be received from consumer reporting agencies, such as credit bureaus and other information relating to your creditworthiness.**
- **Information which may be received from other sources with your consent.**

#### **Sharing of Non-Public Information**

Brock Securities LLC does not disclose non-public personal information relating to current or former clients to any third parties, except as required or permitted by law. We do not make any disclosures of information to other companies who may want to sell their products or services to you.

#### **Security**

Brock Securities LLC strives to ensure that our systems are secure and that they meet industry standards. We protect personal information that is provided to Brock Securities LLC by you by maintaining physical, electronic and procedural safeguards that either meet or exceed applicable law. Third parties who have access to such personal information must also agree to follow appropriate standards of security and confidentiality.

#### **Opt-Out Policy**

If you prefer that we do not share your information (other than as prescribed by law) with non-affiliated third parties, including the registered representative servicing your account when or he/she leaves to join another broker/dealer, you may contact our Compliance Department.