

Workman Securities Corporation Privacy Notice

Our Commitment to Protecting Your Privacy

Workman Securities Corporation (“WSC”) realizes that you may be concerned about the confidentiality and security of the financial and personal information you have entrusted or will entrust with WSC in the normal course of conducting securities transactions and providing related investment services. WSC is committed to ensuring the confidentiality and security of your financial and personal information.

In furtherance thereof and to fully comply with Regulation S-P of the United States Securities and Exchange Commission regarding the use and disclosure of nonpublic personal information, WSC makes the following notification and pledge:

1. WSC collects nonpublic personal information about you from the following sources:
 - a. Information WSC receives from you on applications or other forms;
 - b. Information about your transactions with WSC, its affiliates or others; and
 - c. Information WSC receives from a consumer reporting agency.

2. WSC does not sell customer account/nonpublic personal information to anyone. WSC may disclose the following kinds of nonpublic personal information about you:
 - a. Information WSC receives from you on applications or other forms such as your name, address, social security number, e-mail address, date of birth, gender, marital status, income, net worth, assets and/or driver’s license number;
 - b. Information about your transactions with WSC, its affiliates, or others, such as your account balance, payment history, parties to transaction(s), credit usage, investment objectives and/or trade experience; and
 - c. Information WSC receives from a consumer reporting agency about you, such as your creditworthiness and credit history.

3. WSC may disclose nonpublic personal information about you to the following types of third parties:
 - a. Financial service providers, such as banks, securities broker/dealers, mutual fund companies, etc., as necessary to complete specific transactions; and
 - b. State and federal regulatory agencies, as required by law.

4. WSC restricts access to nonpublic personal information about you to only those employees or representatives of WSC that need to know this information to provide products or services to you. WSC and its affiliates and representatives maintain physical, electronic and procedural safeguards that comply with federal standards to guard your nonpublic personal information.

5. WSC’s privacy policy is the same for current and former clients. If you choose to close your account with WSC, as part of the process of transferring your investments, WSC may—unless you instruct WSC otherwise as set forth below—disclose certain nonpublic personal information about you to the new broker/dealer or custodian you select. Your registered representative may, upon leaving WSC and unless you direct otherwise as set forth below, retain copies of your nonpublic personal information for the sole purpose of continuing to service your accounts.

If our representative servicing your account leaves us to join another broker-dealer, the representative is permitted to retain copies of your information so that he or she can continue to serve you at the new firm. The representative is still required to keep your personal information confidential and secure and may only use it to service your account.

6. IF YOU PREFER THAT WSC NOT DISCLOSE NONPUBLIC PERSONAL INFORMATION ABOUT YOU TO NONAFFILIATED THIRD PARTIES, you may opt out of these disclosures, that is, you may direct us not to make those disclosures (other than disclosures otherwise permitted by applicable law). **If you wish to opt out of disclosures to nonaffiliated third parties, you may call our compliance department at the following toll-free number (1-800-225-6465) or send an e-mail stating your desire to opt out to klauss@workmansecurities.com** WSC will not disclose any nonpublic personal information within thirty (30) days of your receipt of this Notice.

If you have any questions or concerns about WSC’s privacy policy or the accuracy of any nonpublic personal information about you collected by WSC, please contact WSC at 1-800-225-6465.