

# DCMB Securities, LLC

## PRIVACY NOTICE

DCMB Securities, LLC recognizes the importance of keeping our customers' confidential financial information private. This is a top priority for DCMB Securities, LLC. This Privacy Notice, which is required by law, explains our Privacy Policies.

1. We will safeguard, according to strict standards of security and confidentiality, nonpublic, personal information our customers share with us. "Nonpublic, personal information," for example, would include such information as your name, address, social security number, and credit information. We will maintain safeguards, physical and electronic, to protect that information. We will conduct our business in a manner that keeps personal customer information secure.
2. We will limit the collection and use of customer information to the minimum we require to deliver superior service and to administer our business, recognizing, however, that we do need to obtain information to make suitable recommendations and to conduct appropriate "due diligence" in our investment banking business. We collect personal information from customers from the following sources:
  - From customers on subscription agreements, applications and related forms;
  - From your transactions with us, our affiliates and others;
  - From consumer reporting agencies;
  - From non-affiliated third parties.
3. It is our policy that only authorized employees of DCMB Securities, LLC, their agents and their staff who need to know your personal information will access it and use it. Workers of DCMB Securities, LLC who violate our Privacy Policies are subject to discipline.
4. It is our policy that we will not share personal customer information (of either current or former customers) outside of DCMB Securities, LLC for any purpose other than the providing of investment banking services or the brokering or underwriting of securities transactions on behalf of the customer, unless the disclosure has been authorized by the customer or is permitted by law.
5. Whenever we retain other organizations to provide support services on behalf of DCMB Securities, LLC we will require them to protect customers' personal information.
6. When necessary, we will review and revise our Privacy Policies to protect personal customer information.

## PATRIOT ACT NOTICE

### **Important Information About Procedures for Opening a New Account**

To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account.

What this means for you: When you open account, we will ask for your name, address, date of birth and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents.