

SAFEGUARDING YOUR PRIVACY CONSUMER NOTICE
CUSTOMER IDENTIFICATION PROGRAM NOTICE
CUSTOMER INQUIRY NOTICE

Tradier Brokerage Inc. (“Tradier”) is committed to safeguarding the confidentiality and privacy of the information we maintain on all our clients. This notice describes how we manage and safeguard information about you, our individual client, who seeks or obtains financial products or services from us primarily for personal, family or household purposes. It covers how we protect the information which we have about our current and former individual clients.

Tradier does not share any client information with nonaffiliated third parties for marketing purposes.

We never sell any client information to anyone for any reason. Tradier will share information with third parties that you have identified as having a commercial relationship with you and approve sharing information. If your account is managed by, or associated with, a Registered Investment Adviser, then Tradier may share any and all information regarding your account to your advisor on record. This site collects IP addresses or domain names anytime a Web page is requested from our server. This information is used to analyze site traffic. The URL of a referring Web page also may be logged for the same purpose.

Information provided by site visitors is collected to assist us in the performance of services offered by Tradier. If you send us an email, your email address will be displayed in the message that we receive. We use this information to reply to your inquiry and we keep your email message for our records and future reference as required by regulation. It is the privacy policy of Tradier not to share that information with other unaffiliated companies or organizations, unless we are required to do so by law, court order or regulatory requirements.

Collected information is not shared with other unaffiliated organizations for commercial purposes. Frequently, users voluntarily provide nonpublic personal information to Tradier. If you provide your mailing address to us online, then you may receive periodic mailings from us with information relating to the business and services of Tradier. Likewise, if you provide us your telephone number online, then you may receive telephone contact from us with information relating to the products and services of Tradier. As e-commerce evolves, we shall make the appropriate updates of security policy changes on our website for your review. The success of our business relationship with online clients depends on our ability to maintain the trust of our users. If you have any questions, please contact us.

If you are a current Tradier client and wish to opt-out, you can do so by calling 980-272-3880.

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 an 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.

CUSTOMER INQUIRY NOTICE

SEC Rule 17a-3(a)(18) requires our Firm to maintain a record indicating that each client or investor has been provided with a notice containing the address to which you may transmit any inquiries that you may have respecting our Firm. Customer inquiries may be directed to:

Peter Laptewicz
PO Box 49056
Charlotte, NC 28277
980-282-3880