



NEWBRIDGE SECURITIES CORPORATION AND NEWBRIDGE FINANCIAL SERVICES GROUP, INC. Privacy Statement

Protecting Your Privacy

At Newbridge Securities Corporation and Newbridge Financial Services Group, Inc. ("Newbridge" or the "Firm"), protecting our clients' privacy is paramount. We recognize that an individual's financial matters are extremely private and sensitive in nature, and we have adopted policies that enable us to protect your privacy and, at the same time, provide you with a broad range of high-quality financial products and services.

This notice will explain the types of information we collect about you, how we use and share that information both within and outside the Newbridge family of companies, and how you can instruct us to limit certain types of information sharing. This policy applies to all current and former Newbridge customers. Information obtained by Newbridge for all customers and former customers is treated in the same manner.

How We Protect Information: We strive to protect your data and safeguard it from those not authorized to see it.

Your Privacy Is Not for Sale: Under no circumstances whatsoever will Newbridge sell your personal information to anyone, for any reason, at any time.

How We Collect Information About You: We collect personal information about you in a number of ways.

- We collect information from you when you open an account or enroll in one of our services. We may also collect information from consumer reporting agencies to verify your identity in the account-opening process or if you apply for a margin account. The information we collect may include your name, address, phone number, email address, Social Security number and date of birth, as well as details about your interests, investments and investment experience.
- Once you have opened an account with us, we collect and maintain personal information about your account activity, including your transactions, balances, positions and history. This information allows us to administer your account and provide the services you have requested.
- We may collect information about you from information services and consumer reporting agencies to verify your identity, employment or creditworthiness, or to better understand your financial needs.
- The law permits us to share information about our current and former customers with government agencies or authorized third parties under certain circumstances. For example, we may be required to share such information in response to subpoenas or to comply with certain laws.

How We Share Information About You Within the Newbridge Family of Companies: Newbridge is part of the Newbridge family of financial services or marketing services companies that are owned by our parent, Newbridge Financial, Inc. or owned directly or indirectly by the controlling shareholders of Newbridge Financial, Inc. (collectively, "Newbridge Family of Companies") These companies are often referred to as "affiliates" and include, but are not limited to, the following:

- Newbridge Financial, Inc. parent company;
- Newbridge Securities Corporation, a FINRA member broker-dealer;
- Newbridge Financial Services Group, Inc., an SEC registered investment adviser;
- SmartAdv, LLC; and
- Intelligent Holdings, Inc.

Many clients within the Newbridge Family of Companies do business with more than one affiliate, creating an efficient, comprehensive financial relationship to meet individual needs. When appropriate, Newbridge may share information we collect about you within our Newbridge Family of Companies :

- Help provide you with better service or perform services on your behalf;
- Respond to communications from you or as you authorize or request;
- Make it more convenient for you to open a new account; and/or
- Allow an affiliate to provide you with information about their products and services that we believe may benefit or interest you.

You may instruct us not to share information about you with our affiliates for certain purposes, as explained under "How to Limit the Sharing of Information About You."

How We Share Information About You Outside of the Newbridge Family of Companies: We provide access to information about you to outside companies and other third parties in certain limited circumstances, including:

- To help us process transactions for your account;
- When we use another company to provide services for us, such as printing, emailing and mailing your account statements and as well as information about the Newbridge Family of Companies' products and services that we believe may benefit or interest you; and/or
- When we believe that disclosure is required or permitted under law. For example, we may be required to disclose personal information to cooperate with regulatory or law enforcement authorities, to resolve consumer disputes, to perform credit/authentication checks, or for risk control.

In certain circumstances, your Newbridge registered representative or investment may have contractual rights to use certain personal information about you if he or she leaves our Firm, in order to facilitate the transfer of your account to a new firm. You are not obligated to transfer your account under these circumstances, and you may instruct us **not** to allow the sharing of information about you with outside companies for this or other purposes, as explained under "How to Limit the Sharing of Information About You."

How to Limit the Sharing of Information About You: If you prefer, you may choose to limit the information we share about you with our affiliates and outside companies. Specifically, you may instruct us:

- **Not** to share with our affiliate's consumer reports and other personal information about you that may be used to determine your eligibility for credit (for example, information about your income, profession, or employment status);
- **Not** to allow our affiliates to market their financial products or services to you based on information they receive from us about your eligibility for credit or your transactions and experiences with us;
- **Not** to share personal information about you with an outside company for joint marketing purposes; and
- **Not** to allow a departing broker to use or take your personal information in order to transfer your account to his or her new firm.

You may exercise this choice by calling us at **(877) 447-9625**. Your choice will be applied to you as an individual and will automatically be extended to all of your accounts with us, as well as any accounts you may have with any of our affiliates. You may make your privacy choice at any time, and it will remain in effect until you change it.

Safeguarding Your Information, Maintaining Your Trust: We take precautions to ensure the information we collect about you is protected and is accessed only by authorized individuals or organizations. We restrict access to personal information by our employees and agents. Our employees are trained about privacy and are required to safeguard personal information. We maintain physical, electronic and procedural safeguards to protect personal information.

Contact Us with Questions: If you have any questions or concerns, or if you identify any information that you believe is no longer accurate, please contact us by email at info@newbridgesecurities.com or call us at **(877) 447-9625**.

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