



Privacy Policy

NBC Securities, Inc. ("NBC Securities," "we," "our," or "us") values your trust. This Privacy Notice describes how we collect, use, protect, and share personal information about our current and former clients.

Confidentiality and Security

We consider the information we have about you to be confidential — including the fact that you are a client of NBC Securities. We handle your information according to the practices described in this notice and restrict access to those employees and authorized agents who need it to service your accounts or support our operations.

We maintain physical, electronic, and procedural safeguards as required by federal law, including SEC Regulation S-P and the Gramm-Leach-Bliley Act, to protect the confidentiality of your information.

How We Collect Your Information

NBC Securities collects personal information directly from you and through your interactions with us. This includes:

- Information you provide on account applications, forms, agreements, or communications (e.g., name, address, Social Security number, income, investment objectives)
- Information about your transactions and account activity with us (e.g., balances, trading history, payment instructions)
- Information from third-party sources, including consumer reporting agencies and public databases (e.g., credit history, identity verification)
- Information collected automatically from your use of our website or online platforms, such as IP address, browser type, and device information
- Information obtained through mobile interactions, including when you opt into text message alerts or use mobile-accessible account features

How We Share Your Information

NBC Securities does not sell personal information about current or former clients. We only share your information as permitted by law and as necessary to deliver services to you. Examples include:

- With service providers and vendors who help us process transactions, generate statements, or manage client accounts
- With regulators, law enforcement, courts, and government agencies to comply with legal or regulatory obligations
- With affiliated or unaffiliated financial institutions in connection with joint marketing arrangements (e.g., co-branded investment or insurance products)
- With companies that perform marketing or research services on our behalf (subject to strict limitations on their use of your information)
- With third parties when you authorize or direct us to do so (e.g., sending statements to your attorney or CPA)

Mobile Data and Text Messaging Privacy

Mobile information will not be shared with third parties or affiliates for marketing or promotional purposes.

All the above categories exclude text messaging originator opt-in data and consent. This information will not be shared with any third parties.

**Your Right to Limited Marketing**

You may limit our affiliates from marketing their products or services to you based on your personal information (such as income, account history, or credit score) that we collect and share. Once you exercise your choice, it remains in effect unless you tell us otherwise.

Clients with joint accounts may submit one opt-out request on behalf of all account holders.

To opt out of affiliate marketing or limit sharing of certain information:

- Call us at (205) 521-9390 or toll-free at 1-800-521-9390.
- Write to us at:
NBC Securities, Inc.
Attn: Compliance Department
1927 1st Avenue North
Birmingham, AL 35203
- Email us through the “Contact Us” page at www.nbcsecurities.com

Questions or More Information

If you have questions about this Privacy Policy or need assistance with your privacy choices, please contact us at:

Toll-Free: 1-800-521-9390

Online: www.nbcsecurities.com