

## Siebert AdvisorNXT, Inc. Privacy Policy

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Siebert AdvisorNXT, Inc. puts peace of mind first. We recognize the importance of protecting your personal information and take the responsibility of handling both your trust and personal information extremely seriously. As a regulated financial institution Siebert AdvisorNXT, Inc. is required to obtain certain personal information from our customers. The following Privacy Policy demonstrates our commitment to the privacy of your personal information.

Siebert AdvisorNXT, Inc. collects, uses, and retains your personal information to assist in properly administering our business and servicing your account, and to continuously improve our services to you.

Siebert AdvisorNXT, Inc. collects nonpublic personal information about you from the sources described below. We may use this information to open an account, communicate with you about your account and AdvisorNXT, Inc. products and services, send you information that we believe would be of interest to you, and offer you subscription services.

- Information gathered from your applications, other forms or requests for more information;
- Information from your transactions with us, our affiliates or others;
- Information from consumer reporting agencies to verify your identity or determine your creditworthiness; and
- Information from other sources with your consent, such as from other institutions if you transfer positions to Muriel Siebert & Co., Inc. ("Siebert") and from information we receive from you for subscription or sweepstake registrations.

Siebert AdvisorNXT, Inc. is required to maintain accurate and complete information about your account. If your financial status, investment objectives, employment information or lifestyle (e.g. marriage, divorce, birth, adoption, death) has recently changed, please contact Customer Service at [info@advisornxt.com](mailto:info@advisornxt.com) with your account information.

If you prefer not to receive Siebert AdvisorNXT, Inc. product and service updates or information that we believe would be of interest to you, please contact Customer Service at (855) 299-1980, 8:00 a.m. - 6:00 p.m. ET, Monday-Friday.

We do not sell customer information, whether you are a current Siebert AdvisorNXT, Inc. customer, Siebert customer or a former customer, to anyone, for any reason, at any time. Except as described below, we do not currently share your nonpublic personal information with any nonaffiliated third parties. If we were to do so, the law requires Siebert AdvisorNXT, Inc. to provide you with a reasonable opportunity to "opt out", that is, to direct us not to share your nonpublic personal information with nonaffiliated third parties in certain circumstances. If, in the future, we were to seek to disclose your information in a way that is inconsistent with this policy, we will notify you in advance and provide you with a reasonable opportunity to opt out of our sharing your information in this manner.

We may disclose nonpublic personal information from customers and former customers on a strictly limited, confidential basis to

nonaffiliated third-parties that perform account maintenance and processing services for us. These include, for example, asset manager, our clearing firm, bank custodians, and fulfillment companies. We may also disclose nonpublic personal information from customers and former customers to nonaffiliated third-parties as permitted or required by law or as authorized by you. These parties include government, regulatory and self-regulatory organizations, including but not limited to, the Securities and Exchange Commission ("SEC"), the Internal Revenue Service ("IRS"), the NYSE, and FINRA, and to parties under court order or subpoena that request this information.

Siebert AdvisorNXT, Inc. may report information about your account(s) to credit bureaus and/or consumer reporting agencies. You should be aware that late payments, missed payments, and/or other defaults in connection with your account(s) may be reportable by the firm, and may be reflected in your credit or consumer reports.

Siebert AdvisorNXT, Inc. restricts access to your personal and account information to those employees who need to know that information to manage your account(s) and to provide products or services to you. We maintain physical, electronic, and procedural safeguards designed to protect your nonpublic personal information from any unauthorized disclosure.

### Online Privacy and Cybersecurity

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The importance of protecting your personal information online is critical in today's digital environment. Therefore, along with all of the security measures described above, we employ the following online security measures. We protect your personal information by incorporating powerful, state-of-the-art security measures, encryption and firewalls and all of your personal information is collected and stored on a secure area of our website. Access to all secure areas of our website is protected by a unique User ID and Personal Identification Number. We instruct our employees to use the highest standards of care when handling your personal information with respect to your security and confidentiality. Generally speaking, Siebert AdvisorNXT, Inc. policy is not to discuss nor disclose information about your account except with an authorized person on your account or as required by law or pursuant to a regulatory request.

When you visit our website, a "cookie" is transmitted to your computer. A "cookie" is simply an electronically-transmitted file that holds small pieces of information, which personalizes and enhances the performance of your experience at Siebert AdvisorNXT, Inc. by enabling us to determine which areas of our website are more popular than others and which of our advertisements on other sites have been visited. It is important for you to know that your privacy is never compromised when you accept a "cookie" from our website. You can set your browser to notify you when you receive a "cookie", allowing you to decide whether to accept it. Please contact Customer Service if you have any questions regarding the privacy of your personal information.

Siebert AdvisorNXT, Inc. reserves the right to make changes to this policy. March 2020.