

## Privacy Policy

### Our Pledge to Our Customers

Triad Advisors, Inc. ("we") and all of its affiliated financial advisors are committed to maintaining the trust and confidence of our customers ("you"). We want you to understand how we protect your privacy when we collect and use your non-public personal information ("personal information") in the course of business, as well as the measures we take to safeguard your personal information. Keeping your personal information private is our priority.

While providing service to you, we collect personal information from the following sources:

- Account applications and other standard forms related to your accounts and information that you disclose to your financial advisor. Examples of information collected include your name, address, Social Security number, assets, types and amounts of investments, transactions and income.
- Your transactions with Triad Advisors and any entity associated with it, including those that work closely with Triad to provide you with diverse financial products and services. Examples of information collected include your account balance, payment history, parties to transactions, types and amounts of investments and transactions.
- Consumer reporting agencies, including information concerning your credit worthiness and credit history.
- Information obtained from third parties when verifying applications or other forms. This may be obtained from your current or past employers or from other institutions with which you conduct financial transactions.
- Associated entities, which are individuals and entities that are not our affiliates but are affiliates of our affiliates, primarily Registered Investment Advisers that are affiliated with our registered representatives.
- Financial services companies with which we have joint marketing agreements. These may include associated Registered Investment Advisers, Banks and Credit Unions.

Keeping your information secure is one of our most important responsibilities. We restrict access to your personal information to our employees, our affiliates, associated persons and companies with which we have joint marketing agreements that have a need to know that information to assist us in providing products or services to you. We maintain physical, electronic and procedural safeguards that comply with applicable law to protect your personal information. We train our affiliated financial advisors and their employees in the proper handling of personal information. When we use other companies to help provide our services to you, we require them to protect the confidentiality of personal information they receive.

## **Disclosing Personal Information to Non-Affiliated Third Parties**

We do not sell, share or disclose your personal information to non-affiliated third-party marketing companies, except personal information we share with other financial institutions pursuant to joint marketing agreements we enter into with them.

We may disclose some or all of the information we collect, only to provide services as allowed by applicable law or regulation. They are not permitted to share or use the information for any other purpose. We may also disclose to our affiliates all of the information we collect, as described above regarding “how we collect your personal information”. To the extent that applicable state laws grant you greater protection in connection with our sharing of your personal information, we will comply with those laws.

We may also disclose your personal information as permitted or required by law. These disclosures may include, for example, information to process transactions on your behalf, to conduct our operations, to follow your instructions as you authorize, or to protect the security of your financial records.

## **The Relationship between You and Your Registered Representative/ Advisor**

We are a securities Broker/Dealer and Registered Investment Adviser registered with the United States Securities and Exchange Commission (SEC) and a member of the Financial Industry Regulatory Authority (FINRA). Our brokerage accounts are insured by Securities Investor Protection Corporation (SIPC). Supporting your financial advisor is one of our principal missions. We value our relationship with your financial advisor and hope and expect that to be a long-term relationship. However, we recognize our affiliated financial advisors may decide to leave us and affiliate with other financial services firms. We value the independence of your financial advisor and the relationship he or she has with you. As such, if your financial advisor terminates his or her relationship with us and affiliates with another financial services firm (“New Financial Institution”), we, or your financial advisor may disclose your personal information to the New Financial Institution, unless you instruct us not to.

If it is your intention to transfer your account to your financial advisor’s new financial institution in the event that your financial advisor terminates his or her relationship with Triad, you do not need to take any action concerning the accompanying form entitled ‘My Privacy Options’. If you do not want us or your financial advisor to disclose your personal information to a new financial institution without your expressed advance consent, or if you do not wish your financial advisor to retain copies of your personal information if he or she terminates his or her relationship with us, you may request that we do not provide your information to the new financial institution by completing the attached form, entitled ‘My Privacy Options’ and mailing it to: Triad Advisors, Inc., Attn: Compliance Department, 5185 Peachtree Parkway, Suite 280, Norcross, GA 30092. If your primary address is in a state that requires your affirmative consent to share your personal information with the new Financial Institution (such as California, Vermont or other states requiring positive affirmation), then you must give your written consent before we will allow your financial advisor to take any of your personal information to a New Financial Institution. You can withdraw your consent at any time by contacting us at the address provided above

## **Disclosing Personal Information to Associated Entities**

We may share your non-public personal information with Registered Investment Advisers with which your Financial Advisors is affiliated and with your bank, credit union or other financial institutions with which we have a joint marketing arrangement. We do that for the purpose of offering additional products and services to you as well as to effect, administer, service and enforce your requested transactions and maintain and service your accounts.

For example, if you currently do business with one of our associated entities, or if you ask to receive information or offers from them, we may share your personal information with those associated entities.

Those associated entities may also continue to use personal information they receive from us to perform services on our behalf, to respond to communications from you, as you authorize or request, or, if you are their customer, to offer you their products or services. To the extent that you are entitled to other protections under applicable laws and these laws apply, we will comply with them when we share personal information about you.

## **If Your Relationship with Us Ends**

If our relationship with you ends, we will continue to treat and protect your personal information in accordance with this Privacy Notice. That means that we may continue to share your personal information with our associated entities and affiliates as previously described or as permitted by law. However, if you notify us of your election not to have us share your personal information with others before or after your relationship with us ends, we will honor that request.

## **Additional State Opt-Out Information**

The information sharing practices described previously are in accordance with Federal law. In states where your affirmative consent is required before we can disclose your personal information, we will comply with those state laws.

# **TRIAD ADVISORS PRIVACY POLICY**

## **How to contact us:**

For any questions regarding this policy, or to limit our sharing, contact your financial advisor or the Triad Compliance Department at 888-713-5445 or [www.compliance.com](http://www.compliance.com).

You may contact us in writing at:

**Triad Advisors, Inc.**  
**Attn: Compliance**  
**5185 Peachtree Parkway**  
**Suite 280**  
**Norcross, GA 30092**

3.NF-TR1 -PP-031 1

Member FINRA and SIPC

# **MY PRIVACY OPTIONS**

Member FINRA and SIPC

If you would like to limit the personal information that your Financial Advisor can disclose or take with him or her to another financial services firm upon the termination of his or her relationship with Triad Advisors, Inc., please complete and mail the following form to:

**Triad Advisors, Inc.**  
**Attn: Compliance Department**  
**5185 Peachtree Parkway, Suite 280**  
**Norcross, GA 30092**

\_\_\_\_\_ *(initials) I do not want my personal information disclosed to another brokerage or investment advisory firm upon my Financial Advisor terminating his or her relationship with Triad Advisors.*

**If you want to follow your Financial Advisor to a New Financial Institution when your Financial Advisor terminates his or her relationship with Triad, please do not return this ‘My Privacy Options’ form.**

In order for your opt-out election to be effective, you must initial where previously indicated, complete the information below, sign and date the form and return to Triad Advisors, Inc.

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_

Zip: \_\_\_\_\_

Account Number or last 4 digits of SSN:

\_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_

Zip: \_\_\_\_\_

Account Number or last 4 digits of SSN:

\_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_