

# **ANCHOR BAY SECURITIES, LLC**

## **Privacy Policy**

Your relationship with Anchor Bay Securities, LLC is based on trust and confidence. You deserve to expect that we will protect any and all financial information you have provided us in a manner that is safe and secure. Anchor Bay Securities, LLC and its employees are committed to protecting your privacy and to safeguarding that information.

### **Safeguarding Customer Documents**

We collect non-public customer data in checklists, forms, in written notations, and in documentation provided to us by you our clients for evaluation, registration, licensing or related consulting services. We also create internal lists of such data.

During regular business hours access to client records is monitored so that only those with approval may access the files. During hours in which the company is not in operation, the client records will be locked.

Individuals who are not authorized shall not obtain or seek to obtain personal and financial client information. No individual with authorization to access personal and financial client information shall share that information in any manner without the specific consent of a firm principal. Failure to observe Anchor Bay Securities, LLC procedures regarding client and consumer privacy will result in discipline and may lead to termination.

### **Sharing Nonpublic Personal and Financial Information**

Anchor Bay Securities, LLC is committed to the protection and privacy of its clients' and consumers' personal and financial information. Anchor Bay Securities, LLC will not share such information with any affiliated or nonaffiliated third party except:

- When necessary to complete a transaction in a client account, such as with the clearing firm or account custodians;
- When required to maintain or service a client account;
- To resolve client disputes or inquiries;
- With persons acting in a fiduciary or representative capacity on behalf of the client;
- With rating agencies, persons assessing compliance with industry standards, or to the attorneys, accountants and auditors of the firm;
- In connection with a sale or merger of Anchor Bay Securities, LLC's business;
- To protect against or prevent actual or potential fraud, identity theft, unauthorized transactions, claims or other liability;
- To comply with federal, state or local laws, rules and other applicable legal requirements;
- In connection with a written agreement to provide investment management or advisory services when the information is released for the sole purpose of providing the products or services covered by the agreement;
- In any circumstances with the client's instruction or consent; or
- Pursuant to any other exceptions enumerated in the California Information Privacy Act.

### **Opt-Out Provisions**

It is not a policy of Anchor Bay Securities, LLC to share nonpublic personal and financial information with affiliated or unaffiliated third parties except under the circumstances noted above. Since sharing under the circumstances noted above is necessary to service client accounts or is mandated by law, there are no allowances made for clients to opt out.

**Anchor Bay Securities, LLC is a member of the Financial Industry Regulatory Authority ("FINRA"). You may obtain information about FINRA (including a copy of FINRA's "Broker Check" brochure) by contacting FINRA by phone (800/289-9999) or by going to the FINRA website ([www.finra.org](http://www.finra.org)).**

**Anchor Bay Securities, LLC is a member of the Securities Investor Protection Corporation ("SIPC"). You may obtain information about SIPC (including the SIPC brochure) by contacting SIPC by phone (202/371-8300) or by going to the SIPC website ([www.sipc.org](http://www.sipc.org)).**

### **Complaint Notification**

**Please direct complaints to: Anchor Bay Securities, LLC, Attn: Matt Large, 5780 Fleet Street, Suite 308, Carlsbad, CA 92008. Telephone: (760) 602-3470**