

# Privacy Policy

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**Coltrane Securities is a division of Coordinated Capital Securities, Inc (CCS). CCS strongly believes in protecting the confidentiality and security of information we collect about you. This notice describes our privacy policy and describes how we treat the information we receive about you.**

## Why We Collect And How We Use Information.

When we evaluate your request for our services, provide investment advice to you and process transactions for your account, you typically provide us with certain personal information necessary for these transactions. We may also use that information to offer you other services we provide which may meet your investment needs.

## What Information We Collect.

The personal information we collect may include:

Name and address; Employer; Social Security number or tax payer identification number; Assets; Income, Account investment positions and balance; Investment objectives; Investment transactions; Accounts at other Institutions; the identities of accountants, attorneys and other professionals you engage; Information we receive from third parties, including credit bureaus; and Information we obtain to verify your representations to us, such as your identity or assets.

## We Limit How, and With Whom We Share Your Information

We do not sell your personal information to anyone. We may disclose information about you to our employees, affiliates, registered representatives, their affiliated businesses, and third parties who provide you with financial products and services when completing a transaction at your request or when providing other services to you. At your request, we may disclose

information to nonaffiliated third parties but only when completing a transaction at your request or providing our other services to you. Nonaffiliated third parties may include retirement plan sponsors or third party administrators, mutual fund companies, insurance companies and agencies, other broker-dealers and clearing firms, accountants, lawyers, securities professionals and others to assist us, or them, in providing services to you.

We may also share information with companies that perform services on our behalf, such as the companies that we hire to perform marketing or administrative services. Companies we may hire to provide support services are not allowed to use your personal information for their own purposes. We may make additional disclosures as permitted by law.

## How We Protect Information.

We treat information about current and former clients and their accounts in a confidential manner. Employees and our registered representatives are required to comply with our established information confidentiality provisions. We also maintain physical, electronic, and procedural safeguards to protect information.

## Access to and Correction of Your Information.

Upon your written request, we will make available your information for review. Information collected in connection with, or in anticipation of, any claim or legal proceeding will not be made available. If your personal information with us becomes inaccurate, or if you need to make a change to that information, please contact us at the number shown below so we can update our records. Also, if you believe someone has accessed your account without

authorization, please contact us as soon as possible.

## Annual Written Notice

We will reaffirm this policy annually in writing, as long as you maintain an on-going relationship with us. While this policy may change from time to time you can always review our current policy online at [www.ccsmadison.com](http://www.ccsmadison.com)

## Further Information.

For additional information regarding our privacy policy, or if you have any questions and/or concerns about your account or about our services, please contact us by writing to us at 704 River Place Commerce Center III, Madison, Wisconsin 53716 or calling 608-221-4545.

We also wish to advise you that the Financial Industry Regulatory Authority (FINRA) Public Disclosure Program provides information to investors about the background, business practices and conduct of FINRA members, such as CCS and their brokers. More information about the FINRA Program can be obtained at [www.finra.org](http://www.finra.org) or by calling the FINRA hotline (800)289-9999.

## **SIPC Membership**

Our firm is a member of the Securities Investor Protection Corporation (SIPC). SIPC protects the clients of its member firms against the loss of their securities in the event of the member's insolvency and liquidation. For more information on SIPC coverage, please see the explanatory brochure at [www.sipc.org](http://www.sipc.org) or contact SIPC at (202)371-8300.

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# COLTRANE SECURITIES