



## PRIVACY & CUSTOMER IDENTIFICATION POLICY

### PRIVACY POLICY

At Johnson Bender & Company, maintaining the trust and confidence of our clients is a high priority. That is why we want you to understand how we protect your privacy when we collect and use information about you, and the steps that we take to safeguard that information. This notice is provided to you on behalf of Johnson Bender & Company.

#### **Information We Collect:**

In connection with providing investment products, financial advice, or other services, we obtain non-public personal information about you, including:

- Information we receive from you on account applications;
- Information about your transactions with others, including your financial advisor or us.

#### **Information We Disclose:**

We will not disclose information regarding you or your account with us, except under the following circumstances:

- To your authorized financial advisor and his or her manager;
- To establish or maintain an account with an unaffiliated third party, such as a clearing broker providing services to you and/or Johnson Bender & Company;
- To government entities or other third parties in response to subpoenas or other legal process as required by law;
- If applicable, to our parent companies or their affiliates, to the extent permitted by law.

#### **Our Security Policy:**

Only those individuals who need it to perform their jobs are authorized to have access to confidential client information. We maintain physical, electronic, and procedural security measures that comply with applicable state and federal regulations to safeguard confidential client information.

#### **Closed or Inactive Accounts:**

If you decide to close your account(s) or become an inactive customer, we will adhere to the privacy policies and practices as described in this notice.

#### **Complaint Notification:**

Please direct complaints to:

Johnson Bender & Company  
5555 San Felipe, Suite 1100  
Houston TX 77056  
(713) 439-1200

#### **Changes to This Privacy Policy:**

If we make any substantial changes in the way we use or disseminate confidential information, we will notify you.

If you have any questions concerning this Privacy Policy, please write to us at:

Johnson Bender & Company  
5555 San Felipe, Suite 1100  
Houston, TX 77056