



## Privacy Policy

At Cape Securities, Inc. we appreciate your business and the trust you have placed in us. Our privacy policy reflects the value of your trust.

Cape Securities, Inc. collects certain personal financial information about you so that we (1) recommend products which are suited to your needs; (2) know who you are and can prevent unauthorized access to your information; and (3) comply with the laws and regulations that govern us (FINRA). We consider your information to be private and confidential.

We gather this information about you from the applications, new account forms, client profiles, and other forms you may prepare for us, and from your transactions with us. The types of information we collect may include your name, address, social security number, driver's license number, income and net worth, beneficiaries, and your transactions.

It is our policy that we do not disclose any nonpublic information about you to anyone, except as necessary to establish and manage your account(s) or as permitted by law. For example, the information described above may be shared with the clearing firm that executes your transactions and retains custody of your securities. Another example would be if your financial advisor terminates his or her relationship with us and moves to another brokerage or investment advisory 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 by initialing where indicated, signing below and returning this form to Cape Securities, Inc. by fax to 678-583-1258 or by mail to 1600 Pennsylvania Avenue, McDonough, Georgia 30253.

We limit access to nonpublic information about you to those employees who need to know that information in order to provide products and services to you. We maintain physical, electronic and procedural safeguards to protect your information.

In the event that you should close your account with us, or if your account should become inactive, we will continue to adhere to the privacy policies and practices described in this notice.

\_\_\_\_\_ I do not allow my financial advisor to take my nonpublic information to a new financial institution should he/she leave Cape Securities, Inc.

\_\_\_\_\_  
Client Signature

\_\_\_\_\_  
Print Client Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Client Signature

\_\_\_\_\_  
Print Client Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Client Telephone Number