



Privacy Policy

FACTS	What do Cape Securities, Inc. and affiliates do with your personal information?
Why?	Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some, but not all, sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.
What?	The types of personal information we collect and share depends on the product or service you have with us. The information can include: <ul style="list-style-type: none"> ● name ● Social Security number ● employment information ● address ● assets ● account balances ● phone numbers ● investment experience ● other financial information
How?	All financial companies need to share personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' personal information, the reasons Cape Securities, Inc. chooses to share, and whether you can limit this sharing.

Reasons we can share your personal information:	Does American Global share?	Can you limit this sharing?
For our everyday business purposes – Such as to process your transactions, maintain your account(s), respond to court orders and investigations, comply with regulatory requirements.	YES	NO
For our marketing purposes – To offer products and services to you	YES	NO
For our affiliates' everyday business purposes – Information about your transactions and experiences	YES	NO
For our affiliates' everyday business purposes – Information about your creditworthiness	YES	YES
For our affiliates to market to you	YES	YES
For joint marketing with other financial companies	NO	we do not share
For non-affiliates to market to you	NO	we do not share

To limit our sharing	<ul style="list-style-type: none"> ● Call 678-583-1120 ● Mail the form below. ● Visit us online: http://www.capecurities.com/individuals-contact/ <p>Please note: If you are a new customer, we can begin sharing your information 30 days from the date we sent this notice. When you are no longer our customer, we continue to share your information as described in this notice. However, you can contact us at any time to limit our sharing.</p>
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Questions?	Call 678-583-1120
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Mail-in Form	
<p>If you have a joint account/policy, your choice(s) will apply to everyone on your account unless you mark below.</p> <p><input type="checkbox"/> Apply my choices only to me.</p>	<p>Mark any / all you want to limit:</p> <p><input type="checkbox"/> Do not share information about my creditworthiness with your affiliates for their everyday business purposes.</p> <p><input type="checkbox"/> Do not allow your affiliates to use my personal information to market to me.</p> <p><input type="checkbox"/> Do not allow my financial advisor to take my non-public information to a new financial institution should he/she leave Cape Securities, Inc.</p>
	Signature _____
	Name _____
	Address _____
	City, State Zip _____
	Account/Policy/Contract # _____
Mail to:	Cape Securities, Inc., 1600 Pennsylvania Avenue, McDonough, GA 30253

Who are we?	
Who is providing this notice?	Cape Securities, Inc. family of companies
What we do	
How does Cape Securities, Inc. and its family of companies protect my personal financial information?	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards, and secured files and buildings.
How does Cape Securities, Inc. and its family of companies collect my personal information?	<p>We collect your personal information when you agree to provide it, for example when you...</p> <ul style="list-style-type: none"> ● open an account ● update your account ● seek advice about your investments ● correspond with us via e-mail, phone, etc. <p>We may also collect your personal information from others, such as credit bureaus, affiliates, or other companies.</p>
Why can I not limit all sharing?	<p>Federal law gives you the right to limit only:</p> <ul style="list-style-type: none"> ● Sharing for affiliates' everyday business purposes – information about your creditworthiness. ● Affiliates from using your information to market to you ● Sharing for nonaffiliates to market to you. <p>State laws and individual companies may give you additional rights to limit sharing.</p>
What happens when I limit sharing for an account I hold jointly with someone else?	Your choices will apply to everyone on your account/policy unless you tell us otherwise.
Definitions	
Affiliates	<p>Companies related by common control or ownership. They can be financial or nonfinancial companies.</p> <ul style="list-style-type: none"> ● Cape Investment Advisory, Inc. (d/b/a American Global Advisory Services) ● Cape Insurance Solutions, Inc. ● American Global Wealth Management, Inc ● Other companies as acquired from time to time.
Nonaffiliates	<p>Companies not related by common ownership or control. They can be financial or nonfinancial companies.</p> <p>Cape Securities, Inc. and its affiliates do not share with nonaffiliates so that they can market to you.</p>
Joint marketing	<p>A formal agreement between nonaffiliated financial companies that together market financial products or services to you.</p> <p>Cape Securities, Inc. and its affiliates do not jointly market.</p>

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I have an account/policy/contract with the following company(ies). Please mark all that apply:

- Cape Securities, Inc.
- Cape Investment Advisory, Inc.