



Privacy Policy

9017 S. Riverside Drive, Suite 210
Sandy, Utah 84070
Office: 801.838.9999
www.dfp.com



Facts

What does DFPG Investments, LLC ("DFPG") 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 how we use your information

What?

The types of personal information we collect and share depends on the products or services you have with us. This information can include:

- Name, email address, address, social security number, date of birth, citizenship, signature
- Financial account number, financial account balances, trading history, payment history
- Net worth, assets, income, investment experience, employment information
- Transactions or credit relationships with nonaffiliated third parties
- Medical information (if applying for insurance)

How?

All financial companies need to share customers' information to run their everyday business. In the section below, we list the reasons why financial companies can share their customers' personal information, the reason why DFPG may choose to share personal information, and whether you can limit this sharing.

Reasons Why We Can Share Your Personal Information

Does DFPG Share?

Can You Limit This Sharing?

<u>For our everyday business purposes</u> —to process transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
<u>For our marketing purposes</u> —to offer new products or services to you	Yes	No
<u>For joint marketing with other financial companies</u>	Yes	No
<u>For our affiliates' everyday business purposes</u> —we may share your personal information with our affiliates to process transactions, maintain your account(s), or respond to court orders and legal investigations.	Yes	No
<u>For our affiliates' everyday business purposes</u> —information about your creditworthiness	No	We don't share
<u>For nonaffiliates' everyday business purposes</u> —to assist us in obtaining business or providing account maintenance or customer service to your account(s)	Yes	No
<u>For our affiliates to market to you</u> —to offer new products or services to you	No	We don't share
<u>For nonaffiliates to market to you</u> —DFPG does not sell, share, or disclose your nonpublic personal information to nonaffiliated third-party companies	No	We don't share
<u>For advisors/representatives who leave DFPG</u> - If your financial professional leaves DFPG to join another financial institution, the advisor/representative may retain copies of your personal information so that they can continue to serve you at the new firm. This information may be shared with the new firm but your advisor/representative is required to keep this information confidential and use it only to service your accounts	Yes	Yes
In the event that a financial professional terminates his or her relationship with DFPG, and you want to follow your financial professional to his or her new firm, please do not request to limit our sharing.		

To limit our sharing

- Call DFPG at **801-838-9999**
- Mail your request to **DFPG Investments, LLC, Attn: Compliance 9017 S. Riverside Dr. Suite 210 Sandy, UT 84070**

Please note: If you are a new customer, we can begin sharing your information from the date we provided you with this notice. When you are no longer a customer, we continue to share your information as described in this notice; however, you can contact us at any time to limit our sharing.

Who We Are

Who is providing this notice?	DFPG Investments, LLC and its affiliates (collectively DFPG). Our affiliates include the following: • Falcon Park Capital, LLC • Willow Creek Compliance, LLC
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What We Do

How does DFPG protect my personal information	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. We protect your personal information in the following ways: • In addition to physical and electronic safeguards, we have implemented security standards and procedures to protect your information, including employee training, limited employee access, and the use of confidentiality agreements.
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How does DFPG collect my personal information	We collect your personal information, for example when you: • Open an account • Apply for insurance • Seek advice about your investments • Enter into an investment advisory agreement
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How does DFPG collect my personal information	Federal law gives you the right to limit only: • 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 State Laws and individual companies may give you additional rights to limit sharing. (See below for more on your rights under state law.)
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What happens when I limit sharing for an account I hold jointly with someone else?	If you have a joint account, we will treat an opt-out direction by a joint customer as applying to all associated joint customers. Any account holder may express a privacy preference on behalf of the other joint account holders.
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Definitions

Affiliates	Companies related by common ownership or control. They can be financial and nonfinancial companies. • Falcon Park Capital, LLC • Willow Creek Compliance, LLC
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Nonaffiliates	Companies not related by common ownership or control. They can be financial and nonfinancial companies. • This may include insurance companies, broker/dealers, investment advisers, mutual fund companies, banks, investment firms, third-party administrators, clearing firms, retirement plan sponsors, and other third parties.
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Joint Marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. • We do not joint market
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Other Important Information

If you live in an "opt-in" state, we are required to obtain your affirmative consent to share your nonpublic personal information with nonaffiliated third parties who do not currently assist us in servicing your account or conducting our business.

California and North Dakota residents: For accounts with a California or North Dakota mailing address, we will not share your personal information with a financial company for joint marketing purposes, except as required or permitted by law.

Vermont residents: For accounts with a Vermont mailing address, we will not share your creditworthiness information with our affiliates, except as required or permitted by law.