

## WHAT DOES VAUGHAN & CO. SECURITIES, INC. (VCS) DO WITH YOUR PERSONAL INFORMATION?

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.

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

- Social Security number, home address and employment information
- Telephone numbers, date of birth and other personal information provided by you, your accountant and attorney or other service provider.
- Assets and income
- Account Balances and Transaction History

When you are no longer our client, we continue to share your information as described in this notice.

All financial companies need to share a client's personal information to run their everyday business. In the section below, we list the reasons financial companies can share a client's personal information; the reasons Vaughan & Co. Securities, Inc. chooses to share; and whether you can limit this sharing.

<b><u>Reasons we share your Personal Information</u></b>	<b><u>Does Vaughan &amp; Co. Securities, Inc. share?</u></b>	<b><u>Can you limit this sharing?</u></b>
For our everyday business purposes- such as to process your transactions, maintain your account(s), respond to court orders, legal investigations, or report to credit bureaus	<b>YES</b>	<b>NO</b>
For marketing purposes- to offer our products & services to you	<b>YES</b>	<b>NO</b>
For joint marketing with other financial companies	<b>NO</b>	<b>We do not share</b>
For our affiliates' everyday business purposes- information about your transactions and experiences	<b>YES</b>	<b>NO</b>
For our affiliates' everyday business purposes- information about your creditworthiness	<b>NO</b>	<b>We do not share</b>
For non-affiliates to market to you	<b>NO</b>	<b>We do not share</b>

Questions?: Call 201-444-1361 or email [jdVIII@vaughanandco.com](mailto:jdVIII@vaughanandco.com)

### **Who is providing this notice?**

### **VAUGHAN & CO. SECURITIES, INC. (VCS)**

How does VCS protect my personal information?

To protect your personal information from unauthorized access, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings. We restrict access to your personal and account information to those that need to know in the course of their duties.

How does VCS collect my information?

We collect your personal information. For example, when you open an Account with VCS or you authorize your accountant or attorney or other service provider to supply us with your personal information.

Why can't I limit all sharing?

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 non-affiliates to market to you

State laws and individual companies may give you additional rights to limit sharing. VCS is subject to Federal Law authorized requests.

## **Definitions**

Affiliates:	Companies related by common ownership or control. They can be financial and non-financial companies. <ul style="list-style-type: none"><li>• Pension Administrators, Inc. may provide Pension/Profit Sharing services.</li></ul>
Non-affiliates:	Companies not related by common ownership or control. They can be financial and non-financial companies. <ul style="list-style-type: none"><li>• Vaughan &amp; Co. Securities, Inc. has a custody arrangement with Fidelity Investments.</li><li>• Vaughan &amp; Co. Securities, Inc. uses the Bill Good Marketing, Inc. system to store and manage client information.</li><li>• Vaughan &amp; Co. Securities, Inc. use the Advyzon Software Program from yHLsoft, Inc. for Client Investment Reporting, Billing, Trading and Document Management.</li></ul>
Joint marketing:	A formal agreement between non-affiliated financial companies that together market financial products or services to you. <ul style="list-style-type: none"><li>• Vaughan &amp; Co. Securities, Inc. is not involved in joint marketing with other non-affiliated firms.</li></ul>

If you have any questions about this policy or would like to update your account information, please contact us at (201) 444-1361 or [jdVIII@vaughanandco.com](mailto:jdVIII@vaughanandco.com).