Rev. 02/27/2026

FACTS	WHAT DOES VAUGHAN & CO SECURITIES, INC. 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 depend on the product or service you have with us. This information can include: ■ Social Security Number, Date of Birth, Home Address, Phone Numbers, Employer ■ Assets, Income, Account Balances and Account History ■ Income Tax Information
How?	All financial companies need to share clients' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their clients' personal information; the reasons Vaughan & Co. Securities, Inc. chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does Vaughan & Co Securities, Inc. 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 legal investigations, or report to credit bureaus	Yes	No
For our marketing purposes— to offer our products and services to you	Yes	No
For joint marketing with other financial companies	No	We do not share
For our affiliates' everyday business purposes— information about your transactions and experiences	Yes	No
For our affiliates' everyday business purposes— information about your creditworthiness	No	We do not share
For our affiliates to market to you	No	We do not share
For nonaffiliates to market to you	No	We do not share

To limit our sharing	■ Call **(201) 444-1361** ■ Email **jdviii@vaughanandco.com** **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.
Questions?	Call (201) 444-1361 or go to www.vaughanandco.com

Who we are	
Who is providing this notice?	Vaughan & Co. Securities, Inc.

What we do	
How does Vaughan & Co Securities, Inc protect my personal 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. Your personal and account information is limited to those parties who require such information to perform their duties. Our employees are trained on their responsibilities to protect your data. We maintain controls to ensure third-parties keep your information secure and confidential.
How does Vaughan & Co Securities, Inc collect my personal information?	We collect your personal information, for example, when you ■ provide contact information ■ discuss your investments, retirement plans, savings, taxes ■ seek financial advice ■ open an account and/or enter into an Investment Advisory Agreement We also collect your personal information from other companies.
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 nonaffiliates to market to you State laws and individual companies may give you additional rights to limit sharing.
What happens when I limit sharing for an account I hold jointly with someone else?	Your choices will apply to everyone on your account.

Definitions	
Affiliates	Companies related by common ownership or control. They can be financial and non-financial companies. ■ Pension Administrators, Inc. may provide Pension/Profit Sharing services
Nonaffiliates	Companies not related by common ownership or control. They can be financial and non-financial companies. ■ Vaughan & Co. Securities, Inc. utilizes Fidelity Investments as a custodian ■ Vaughan & Co Securities, Inc. utilizes Altitude CRM as a customer relationship management platform system to store and manage client information. ■ Vaughan & Co. Securities, Inc. uses the Tamarac Inc. (doing business as Envestnet |Tamarac) Software Program for Client Investment Reporting, Billing, Trading and Document Management. ■ Vaughan & Co. Securities, Inc. uses Copy Talk, a mobile voice-to-text dictation service, to document client meetings, notes, and tasks. ■ Vaughan & Co. Securities, Inc. utilizes DST Vision platform to access our American Funds College 529 Plans ■ Vaughan & Co. Securities, Inc. utilizes Pontera platform to manage, analyze, and rebalance, "held-away" assets such as 401K accounts ■ Vaughan & Co. Securities, Inc. utilizes itSynergy for IT and cybersecurity services ■ Vaughan & Co. Securities, Inc. utilizes Amazon Workpace as a Virtual Desktop Network
Joint marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. ■ Vaughan & Co. Securities, Inc. is not involved in joint marketing with other non-affiliated firms

Other important information

We may update this Policy periodically. We will notify you of any revision. The revision date will be noted on the Policy Notice. The most recent Privacy Notice can be found on our website.