

Privacy Notice / SIPC Information

Advisory Group Equity Services, Ltd. and Trust Advisory Group, Ltd. are committed to protecting the confidentiality of the information furnished to us by our clients. We are providing you this information as required by Regulation S-P adopted by the Securities and Exchange Commission and the Gramm-Leach-Bliley Act.

Information About You That We Collect:

We collect nonpublic personal information about you from the following sources:

- Information we receive from you on applications or other forms forwarded to us by your registered representative;
- Information about your transactions with us, our affiliates, or others; and
- Information we may receive from a consumer reporting agency.

Our Use of Information About You:

We may share information about you with other companies in the Advisory Group Equity Services, Ltd. and Trust Advisory Group, Ltd. family (that is, companies that are under common ownership) and with parties that provide other services to us, and with certain financial institutions with whom we have joint marketing arrangements. Otherwise, we do not disclose any nonpublic personal information about you to anyone except as permitted by law. We follow the same policy with respect to nonpublic information received from all clients and former clients.

How We Protect Your Confidential Information:

Advisory Group Equity Services, Ltd. and Trust Advisory Group, Ltd. have policies that restrict access to nonpublic personal information about you to those employees who have need for that information to provide investment alternatives or services to you, or to employees who assist those who provide investment alternatives or services to you. We maintain physical, electronic and procedural safeguards to protect your nonpublic personal information. Registered Representatives/IARs, as independent contractors, upon leaving the firm, may retain all client information both electronically and in hard copy format.

Securities Information Protection Corporation

Information on Securities Information Protection Corporation (SIPC), including the SIPC brochure, may be obtained by visiting the website at www.SIPC.org or calling them at (202) 371-8300.

FINRA Website and Broker Check

To access Broker Check go to the FINRA website <http://www.FINRA.org> and click on **Broker Check** or call (800) 289-9999.

Member MSRB

The Municipal Securities Rulemaking Board (MSRB) Website is www.MSRB.org
The *MSRB Informational Brochure* is available at <http://www.msrb.org/~media/Files/Resources/MSRB-MA-Clients-Brochure.ashx?la=en> or upon request.