

# Privacy Policy & Security Statement

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## Customers' Privacy is Important

The Privacy Policy and Security Statement describes how DFPG Investments, Inc. (DFPG) protects its customers' non-public information that DFPG collects in the course of providing financial services to its customers.

## Non-Public Information DFPG Collects

In the course of providing financial services, DFPG collects non-public information about its customers from the following sources:

- Applications, forms, and other information customers provide to us (for example: your name, address, social security number, assets, liabilities, income, investment experience, investment activity, and other information);
- Independent firms who DFPG has engaged to perform background checks on its customers;
- Consumer reporting agencies regarding the credit worthiness and credit history of DFPG's customers; and
- Other sources regarding the employment, business, credit, or other relationships with DFPG's customers, either directly or by verifying the representations which DFPG's customers have made to such sources, such as a customer's employment history, loan or credit card balances, and other similar information.

## Non-Public Information DFPG Discloses and to Whom DFPG Discloses Non-Public Information

DFPG does not disclose any non-public information about its customers, or former customers, except in a manner consistent with applicable law.

**Customers that wish to limit the non-public information DFPG discloses to (a) its affiliates (b) third parties DFPG works with to provide financial services to its customers, and (c) to its registered representatives who disassociate with DFPG should contact DFPG immediately, but no later than thirty days from their receipt of this notice, at 801.838.9999.**

DFPG may disclose its customers' non-public information to companies that work with DFPG as it provides financial services to its customers, including services related to due diligence, market reports and analysis, and other services. DFPG may also disclose information to such companies related to its customers in providing the foregoing services. In the event that DFPG discloses customer information to these companies, DFPG would first require these companies to sign confidentiality agreements with DFPG before DFPG will disseminate its customers' non-public information to them and allow them to provide services.

In addition, DFPG may disclose non-public information about DFPG's customers to (a) government agencies such as the United States Securities and Exchange Commission and the United States Internal Revenue Service, and (b) self-regulatory agencies such as the Financial Industry Regulatory Authority. DFPG may also make disclosures to comply with a legal summons, court order, subpoena or similar legal process, a fraud investigation, audit, or examination.

Further, DFPG may permit its registered representatives who disassociate from DFPG for any reason to take non-public information with them related to you or your account with DFPG to use another broker/dealer.

Finally, DFPG is also permitted to disclose non-public information to other parties if its customers provide written consent. Prior to disclosing information related to DFPG's customers to other parties DFPG will obtain written consent from the applicable customer authorizing DFPG to disclose non-public information to such other parties.

## DFPG's Confidentiality and Security Procedures

DFPG restricts access to non-public information about its customers to those employees who need to know such non-public information to provide services to DFPG's customers. DFPG maintains safeguards pertaining to DFPG's offices, computer systems, employees and contractors that comply with federal regulations implemented to protect DFPG's customers' non-public information.

DFPG will provide notice of its privacy policy to each of its customers annually. Although DFPG reserves the right to make changes to its privacy policy, customers can always review DFPG's current policy by requesting a copy at 801.838.9999.

**Securities Investor Protection Corporation (SIPC)**

In an effort to protect investors from the bankruptcy or other financial failure of securities broker/dealers, the United States Congress created SIPC. Like most broker/dealers, DFPG is a member of SIPC. Although SIPC does not protect against fraud, under certain circumstances and subject to specified limitations, SIPC will work to return investors' missing cash, and/or other securities. Information about SIPC, including its brochure, may be obtained by contacting SIPC at 202.371.8300 or [www.sipc.org](http://www.sipc.org).

**DFPG's Business Continuity Plan (the Plan)**

In the unlikely event that an event occurs which causes a substantial interruption of DFPG's business, DFPG has implemented the Plan, which contains certain processes and procedures designed to maintain or recover features critical to DFPG's business and resume assisting customers as quickly as possible. DFPG has made the Plan available to its customers upon their request, which can be made at 801.838.9999.

Although we do not anticipate that an event will occur which would cause DFPG to employ the processes and procedures provided for in the Plan, we do, however, encourage you to review the Plan so that DFPG and its customers are adequately prepared, should DFPG's business be substantially interrupted.

**FINRA Public Disclosure Program**

Although DFPG does not carry customer accounts, and does not hold customer funds, we wish to provide you with the following information:

1. The FINRA Public Disclosure Hotline Number is 800.289.9999
2. The FINRA Website Address is [www.finra.org](http://www.finra.org)
3. The FINRA Address is:

Public Disclosure Program  
FINRA  
P.O. Box 9401  
Gaithersburg, MD 20898-9401

4. A free investor brochure describing the FINRA Public Disclosure Program is available by contacting FINRA at the above telephone number or address.