

## FACTS

### WHAT DOES MIDWESTERN SECURITIES TRADING COMPANY, LLC (MSTC) 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 and our relationships with the affiliated and non-affiliated companies. This information can include:

- Social Security number and driver's license number
- Income, account balances, investment experience, risk tolerances, assets
- Insurance claim history, credit history, credit score
- Employment information

#### How?

All financial companies need to share their customer's personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customer's personal information; the reasons MSTC chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information <i>(Please see definitions of who we share with on page 2)</i>	Does MSTC share?	Can you limit this sharing?
<b>For our everyday business purposes</b> <i>Such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus.</i>	Yes	No
<b>For our marketing purposes</b> <i>To offer our products and services to you.</i>	Yes	No
<b>For our affiliates' everyday business purposes</b> <i>Information about transactions and experiences.</i>	Yes	No
<b>For our affiliates' everyday business purposes</b> <i>Information about creditworthiness.</i>	Yes	Yes
<b>For our joint marketing with other financial companies</b>	Yes	Yes
<b>For our affiliates to market to you</b>	Yes	Yes
<b>For our non-affiliates to market to you</b>	Yes	Yes

#### To limit our sharing:

Call 800-732-8601 or send an email to [info@midwesternsecurities.com](mailto:info@midwesternsecurities.com)

**Please note:** If you are a new customer, we can begin sharing your information 30 days from the date we send this notice. When you are no longer our customer, we continue to share our information as described in this notice. However, you can contact us at any time to limit our sharing.

#### Questions?

Call 800-732-8601 or send an email to [info@midwesternsecurities.com](mailto:info@midwesternsecurities.com)

## Who We Are

### Who is providing this notice?

MSTC as a registered securities broker/dealer and investment adviser, through its registered representatives, as well as John Graham & Associates, Inc. Your MSTC representative may operate in a bank or other financial institution, which has entered into an agreement with MSTC.

## What We Do

### How does MSTC 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, secured files, and building restrictions to protect both your digital and non-digital information. We take preventative measures to restrict access to your personal information stored on our individual computers, servers, network and systems.

### How does MSTC collect my personal information?

MSTC collects your personal information when you:

- Open an investment account, investment advisory contract, or apply for insurance
- Seek financial or investment advice
- Provide us your driver's license and contact information
- Provide us with suitability information
- We also collect your personal information from others, such as credit bureaus, affiliates, and 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 non-affiliates 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. Our affiliates include John Graham & Associates, Inc.

### Non-affiliates

Companies not related by common ownership or control. They can be financial and non-financial companies, persons, or agencies. Non-affiliates we share with are Fidelity Clearing and Custody Solutions SM (our clearing firm), banks and financial institutions where our representatives are located, mutual fund and insurance companies, state and federal regulatory and self-regulatory agencies, and service companies or persons, such as your attorney/accountant that you have given permission to contact. If a representative's affiliation with MSTC ends and there-after joins a non-affiliated broker-dealer, MSTC will permit the nonaffiliated persons limited use of certain contact information, such as name, address, telephone number, email and account types, to contact clients to join the representative's new firm, subject to the express restrictions contained in the departing representative's agreement with MSTC.

### Joint Marketing

A formal agreement between non-affiliated financial companies, that together market financial products to you, including, banks, financial institutions, mutual fund and insurance companies.