

FACTS

WHAT DOES **Network 1 Financial Securities, Inc.** member FINRA/SIPC 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 | and Name, Address, Date of Birth, Email Address, Driver's License |
| • Employment | and Investment Experience, Investment Objectives, Financial Goals |
| • Income and Net Worth | and Account Balance and Account Transactions |

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

How?

All financial companies need to share 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 **Network 1 Financial Securities, Inc.** chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does Network 1 Financial 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	YES	NO
For our affiliates' everyday business purposes: Information about your transactions and experiences	YES	NO
For our affiliates' everyday business purposes: Information about your creditworthiness	YES	YES
For our affiliates to market to you	YES	YES
For non-affiliates to market to you	YES	YES

Questions?

Call 800-886-7007 or visit us on the web at www.Network1Financial.com

WHO WE ARE

Who is providing this notice?	Network 1 Financial Securities, Inc. member FINRA/SIPC
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WHAT WE DO

How does Network 1 Financial Securities 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.
How does Network 1 Financial Securities collect my personal information?	We collect your personal information, for example, when you open an account(s).
Why can't I limit all sharing?	<p>Federal law gives you the right to limit only:</p> <ul style="list-style-type: none"> • 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 <p>State laws and individual companies may give you additional rights to limit sharing.</p>

DEFINITIONS

Affiliates	<p>Companies related by common ownership or control. They can be financial and non-financial companies.</p> <ul style="list-style-type: none"> • Network 1 Financial Group, Inc. • Network 1 Financial Advisors, Inc. • Network 1 Financial Assurance Corporation, Inc.
Non-Affiliates	<p>Companies <i>not</i> related by common ownership or control. They can be financial and non-financial companies.</p> <ul style="list-style-type: none"> • broker/dealers engaged in clearing services as well as transfer agents, mutual fund companies and insurance companies offering fixed and variable life and annuities products
Joint Marketing	<p>A formal agreement between non-affiliated financial companies that, together, market financial products or services to you:</p> <ul style="list-style-type: none"> • Network 1's clearing firm and various retail broker/dealers having selling agreements with Network 1 Financial Securities, Inc.

IMPORTANT CONTACT INFORMATION

Department	Main Phone Number	Extension	Department Contact
Compliance	732-758-9001	2017	Michael Molinaro
Grievances	732-758-9001	2017	Michael Molinaro
Sales	732-758-9001	2017	Michael Molinaro
AML	732-758-9001	2017	Michael Molinaro
Operations	732-758-9001	2010	Susan Maghan
Trading	732-758-9001	2005	William R. Hunt