



NOTICE AT COLLECTION OF PERSONAL INFORMATION

Benjamin F. Edwards & Co. (BFE) and Benjamin F. Edwards Wealth Management, LLC (EWM) (collectively, “we,” “us” and “our”) provide this Notice at Collection of Personal Information pursuant to the California Consumer Privacy Act.

When you begin or maintain a relationship with us, we collect personal information about you. For instance, when you visit our website, open an account with us, or visit our offices, we collect personal information about you. We want you to understand the categories of personal information we collect and the purposes for which the information will be used. We do not sell your personal information. If you would like to learn more about our privacy practices, please visit www.benjaminfedwards.com and our “Privacy and Security” page.

| Categories of Personal Information We Collect | The Business or Commercial Purpose for Which the Personal Information Will Be Used |
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| <p>When you visit our website, we collect identifiers, such as your Internet Protocol (IP) address and unique personal identifier (device identifier). Generally, we do not associate this information with any identifiable individual. Our website also offers several ways in which you can voluntarily provide personal information to us. For instance, we collect information from you when you submit it to us through our “Contact Us” or “An Invitation from CEO Tad Edwards” web forms. This information includes identifiers such as your name, e-mail address, and may also include your company name, telephone number, city, and state, along with the information that you provide to us in your message.</p> | <ul style="list-style-type: none"> • Audit unique visitors to our website, and analyze activity on our website • Detect security incidents, protect against malicious, deceptive, fraudulent or illegal activity, and prosecute those responsible for that activity • Debug to identify and repair errors that impair existing intended functionality • Undertake internal research for technological development and demonstration • Risk and security control and monitoring • Support, personalize and develop our website and online products and services • Analyze performance of our website and functions • Respond to court orders, legal processes and regulatory investigations • Market our products and services and market the products and services of financial institutions with whom we have joint marketing agreements |
| <p>When you open an account with us or consult with us for the purpose of buying financial products or services for your personal, family or household use, we collect identifiers, such as name, address, Internet Protocol (IP) address, unique personal identifier (device identifier), e-mail address, account name, social security number, driver’s license number, passport number, telephone number(s) and</p> | <ul style="list-style-type: none"> • Create, maintain, customize, and secure your account(s) • Verify your identity • Process transactions • Manage consumer relationship / client satisfaction • Detect and prevent fraud and prosecute those responsible |

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| signature. | for that activity <ul style="list-style-type: none"> • Respond to court orders, legal processes and regulatory investigations • Report to credit bureaus • Market our products and services and market the products and services of financial institutions with whom we have joint marketing agreements |
| When you open an account with us or consult with us for the purpose of buying financial products or services for your personal, family or household use, we collect additional personal information such as age, citizenship, marital status, medical condition, physical or mental disability, gender. | <ul style="list-style-type: none"> • Create, maintain, customize, and secure your account(s) • Verify your identity • Process transactions • Manage consumer relationship / client satisfaction • Detect and prevent fraud and prosecute those responsible for that activity • Respond to court orders, legal processes and regulatory investigations • Market our products and services and market the products and services of financial institutions with whom we have joint marketing agreements |
| When you open an account with us or consult with us for the purpose of buying financial products or services for your personal, family or household use, we collect commercial information, such as records of personal property, products or services purchased or considered. | <ul style="list-style-type: none"> • Create, maintain, customize, and secure your account(s) • Verify your identity • Process transactions • Manage consumer relationship / client satisfaction • Detect and prevent fraud and prosecute those responsible for that activity • Respond to court orders, legal processes and regulatory investigations • Market our products and services and market the products and services of financial institutions with whom we have joint marketing agreements |
| When you log into your account, we collect Internet or other electronic network activity, such as your interaction with our website and, if applicable, your interactions with your account(s). | <ul style="list-style-type: none"> • Risk and security control and monitoring • Detect and prevent fraud and prosecute those responsible for that activity • Support, personalize and develop our website and online products and services • Manage consumer relationship / client satisfaction • Analyze performance of our website and functions • Respond to court orders, legal processes and regulatory investigations • Market our products and services and market the products and services of financial institutions with whom we have joint marketing agreements |
| When you call us or we call you on a recorded telephone line, we collect audio information such as voice recordings. | <ul style="list-style-type: none"> • Verify your identity • Detect and prevent fraud and prosecute those responsible for that activity |

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| | <ul style="list-style-type: none"> • Manage consumer relationship / client satisfaction • Provide for the safety and security of our premises, personnel and our clients' information. • Respond to court orders, legal processes and regulatory investigations |
| <p>When you visit our offices, surrounding areas and secure facilities on our premises, we record your photograph and image using closed circuit television security cameras.</p> | <ul style="list-style-type: none"> • Verify your identity • Detect and prevent fraud and prosecute those responsible for that activity • Manage consumer relationship / client satisfaction • Provide for the safety and security of our premises, personnel and our clients' information. • Respond to court orders, legal processes and regulatory investigations |
| <p>When you open an account with us or consult with us for the purpose of buying financial products or services for your personal, family or household use, we collect professional or employment-related data, such as your work history and income.</p> | <ul style="list-style-type: none"> • Create, maintain, customize, and secure your account(s) • Verify your identity • Manage consumer relationship / client satisfaction • Detect and prevent fraud and prosecute those responsible for that activity • Respond to court orders, legal processes and regulatory investigations • Market our products and services and market the products and services of financial institutions with whom we have joint marketing agreements |
| <p>When you open an account with us or consult with us for the purpose of buying financial products or services for your personal, family or household use, we collect education information, such as institutions attended, degree(s) obtained and year(s) of graduation.</p> | <ul style="list-style-type: none"> • Create, maintain, customize, and secure your account(s) • Verify your identity • Manage consumer relationship / client satisfaction • Detect and prevent fraud and prosecute those responsible for that activity • Respond to court orders, legal processes and regulatory investigations • Market our products and services and market the products and services of financial institutions with whom we have joint marketing agreements |
| <p>Inferences drawn from any of the information that we collect about you to create a profile about you and your preferences.</p> | <ul style="list-style-type: none"> • Create, maintain, customize, and secure your account(s) • Verify your identity • Manage consumer relationship / client satisfaction • Detect and prevent fraud and prosecute those responsible for that activity • Respond to court orders, legal processes and regulatory investigations • Market our products and services and market the products and services of financial institutions with whom we have joint marketing agreements |

