

PRIVACY POLICY

Sea Port Group Securities, LLC (“Seaport”) is an Introducing Broker/Dealer clearing through Penson Financial Services, Inc. (formerly, Ridge Clearing and Outsourcing, www.ridgeclearing.com)

This Privacy Policy is presented to you in conformity with Regulation S-P, 17 CFR 248.1-248.3, under section 504 of the Gramm-Leach-Bliley Act.

Personal Information Collected

The non-public personal information we collect about you comes primarily from the account application or other forms you submit to us in support of such application, this may include address, telephone number, Social Security or Tax ID number as well as income.

We may also gather information relating to your transactions, including account balances, positions and activity.

Sharing of Nonpublic Information

Seaport does not disclose non-public information relating to current or former customers to anyone, except as required or permitted by law. This may include sharing your information with non-affiliated companies that perform support services for your account or process your transactions with us. For more information on the clearing agent’s privacy policy, please reference www.penson.com/PrivacyPolicy.aspx

Information Security

Seaport restricts access to your information to those of our employees and service providers who are involved in administering the services that we offer. We strive to ensure that our systems are secure and they meet industry standards. Seaport maintains physical, electronic, and procedural safeguards that are designed to comply with applicable law.

For more information relating to Seaport’s privacy policy, please contact:

Sea Port Group Securities, LLC
Attn: Compliance Department
360 Madison Avenue, 22nd Floor
New York, NY 10017
212-616-7700