



Customer Identification Program Notice

To help the government fight money laundering activities and the funding of terrorism, federal law requires financial institutions to obtain, verify and record information that identifies those with whom we transact securities business.

For individuals, our firm is required to collect the following information, among other items:

Name, Date of Birth, Address, Identification number,

You will also need to show your driver's license or other identifying documents.

A corporation, partnership, trust or other legal entity may need to provide other information, such as its principal place of business, local office, employer identification number, certified articles of incorporation, government-issued business license, a partnership agreement, or a trust agreement.

Privacy Notice

Planner Securities LLC, protects the confidentiality and security of information we collect about our customers. We will not share nonpublic personal information about you with third parties, except for the specific purposes described below.

We limit the collection and use of information to the minimum we require to deliver our services to you. Such service includes maintaining your accounts with us, processing transactions requested by you, and administering our business.

We get information directly from you when you apply for, access, and use financial products and services offered by us – whether in person, by telephone, or electronically. Our employees are required to protect the confidentiality of your information and to comply with our established policies. We maintain physical, electronic and procedural safeguards to protect your information.

We may disclose any kind of your information when we believe it necessary for the conduct of our business, or where disclosure is required by law. Except in those situations, we will not make any disclosure of your information to other companies that may want to sell their products or services to you. Our Privacy Policy will apply even if you are no longer a customer of our firm.

Business Continuity Plan

Planner Securities LLC has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business.

Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

Contacting Us – If after a significant business disruption, you cannot contact us as you usually do at 646-381-7000 you should call our alternative number 732-939-8881 or go to firm website at www.plannersecurities.com. If you cannot access us through either of those means, you should contact our clearing firm,

APEX CLEARING CORP

60 South 6th Street

Suite 1300

Dallas, Texas 75201

Phone Number: 214-765-1100

Web Site: <https://www.apexclearing.com/>

APEX CLEARING CORP. BCP Plan: <https://www.apexclearing.com/wp-content/uploads/2014/07/Apex-Clearing-Business-Continuity-Plan.pdf>

Our Business Continuity Plan – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm's books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Our clearing firm Apex Clearing Corporation backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within 4 hours. Your orders and requests for funds and securities could be delayed during this period.

Varying Disruptions – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within one day or less. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business within one business day. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our firm website www.plannersecurities.com, email or our customer emergency number, 732-939-8881. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to their funds and securities.

For more information – If you have questions about our business continuity planning, you can contact trensvold@plannersecurities.com