

# **FNC AG STOCK, LLC**

MEMBER FINRA/SIPC

## **NOTICE OF PRIVACY POLICY AND PRACTICES**

We are committed to protecting your privacy and maintaining the confidentiality and security of your personal information. Personal nonpublic information is never sold to an outside party for any reason. We do not disclose nonpublic personal information about our present or former clients/investors to third parties other than as described below:

We collect information about you (such as your name, address, social security number, date of birth and occupation) from our discussions with you, from documents that you may deliver to us and in the course of providing services to you. We may use this information to provide services to you, to process a transaction for you, to protect unauthorized persons from accessing your personal information, or otherwise in furtherance of our business.

In order to provide you services and effect your transactions, we may provide your personal information to outside parties such as issuing companies, bank escrow agents, and data processing/software providers that assist us in providing services to you and have a need for such information. When we disclose such information to service providers and to financial institutions, we require them to protect the confidentiality of your information and to use the information only for the purposes for which we disclose it to them.

It is our policy to limit access to your personal nonpublic information to those employees and unaffiliated third parties with a business reason to require the information. Exceptions to this policy include information being shared for the following reasons:

- As required by law;
- Background checks using a credit bureau or similar reporting agency;
- As required by regulatory or governmental agencies or auditors;
- In the event that we sell or merge all or part of our business; and
- As required by attorneys and accountants

In the event that we change this policy and determine that it is beneficial to share your personal nonpublic information with affiliated or unaffiliated third parties, we will notify you beforehand and give you the opportunity to opt-out of such information sharing.

We restrict access to nonpublic personal information about you to internal personnel and affiliates who need to know the information to perform their job responsibilities and to conduct and process your business in an accurate and efficient manner. We maintain physical, electronic and procedural safeguards that comply with federal standards in order to protect your

personal information such as storing client files and statements in a secure area and relying on electronic safeguards such as password protection and firewall installation.

Information about former customers is treated in the same confidential manner and is not shared with outside parties.

## **BUSINESS CONTINUITY DISCLOSURE**

We maintain a business continuity plan that addresses interruptions to our normal course of business. This plan is reviewed annually and updated as necessary. Our disclosure statement is available on our web site at [www.fncagstock.com](http://www.fncagstock.com) and is available in written form upon request.

The plan outlines the actions we will take in the event of a single-building, citywide or regional business interruption, including the use of an office location not affected by the interruption, retrieval of off-site back up data, use of primary and alternate vendors for continued communication, notification of active clients to provide interim information and relocation of personnel to an unaffected site.

## **CUSTOMER IDENTIFICATION PROGRAM NOTICE**

### **IMPORTANT INFORMATION YOU NEED TO KNOW ABOUT OPENING AN ACCOUNT**

To help the government fight the funding of terrorism and money laundering activities, federal law requires all financial institutions, including broker/dealers, to obtain, verify and record information that identifies each person who, or entity that, establishes an account. While there are exceptions to this requirement, we will ask for certain investor information such as legal name, legal address and/or principal place of business, state of incorporation, taxpayer identification number (social security number or employer identification number), etc. that will allow us to demonstrate compliance with these regulations.

A corporation, partnership, trust or other legal entity may need to provide other information such as certified articles of incorporation, government-issued business registration/license, partnership agreement, etc. In some cases, we may also ask for additional documents.

We thank you for your patience and hope that you will support the financial industry's efforts to deny terrorists and money launderers access to America's financial system.

**REQUIRED DISCLOSURE REGARDING  
SECURITIES INVESTOR PROTECTION CORPORATION (SIPC)**

FNC Ag Stock, LLC does not maintain customer accounts. All customer funds are held in a bank account for the exclusive benefit of our clients with an unaffiliated financial institution. While FNC Ag Stock, LLC does not accept or hold customer funds and therefore, would generally not be subject to SIPC protection, we are required to disclose to you that you can obtain more information about SIPC, including a SIPC brochure, by contacting SIPC directly at (201) 371-8300 or refer to the web site which is [www.sipc.org](http://www.sipc.org).

**REQUIRED DISCLOSURE REGARDING  
FINRA WEB SITE AND BROKERCHECK**

Our relationship with you is important to us, so we want to make sure you are aware that important investor information regarding your rights and responsibilities is available through the FINRA web site at [www.finra.org](http://www.finra.org).

From that site, you can also research current and former broker dealer firms and representatives registered with FINRA to conduct securities business via the FINRA BrokerCheck® tool.

FINRA BrokerCheck is a free resource you can use to help you make an informed decision as to the firms and representatives with whom you choose to engage in a business relationship. To use FINRA BrokerCheck, go to:

<http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/>

Alternatively, you can learn more about BrokerCheck by calling FINRA's BrokerCheck Hotline at (800)289-9999. The hours of operation are Monday through Friday from 8 a.m. to 8 p.m., Eastern time.