Rev. 10/2014

FACTS

WHAT DOES Northeast Securities, Inc. 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 Address/ Phone Number/ Personal ID
- Income/ Net Worth and Details of employment background and sources of wealth
- Investing Experience and Transaction History

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 customers' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' personal information; the reasons Northeast Securities, Inc. chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does Northeast Securities 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	No	-
For joint marketing with other financial companies	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	No
For nonaffiliates to market to you	No	-

Questions? Call 516-396-1600 or go to www.nesec.com

Who we are

Who is providing this notice?	Northeast Securities, Inc.

What we do

How does Northeast Securities, Inc. 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. Only authorized personnel have access to information about you and we require companies that work for us to protect your information.
How does Northeast Securities, Inc. collect my personal information?	We collect your personal information, for example, when you ■ Open or close an account or Buy or sell a security ■ Invest in a private security or Correspond with us ■ Provide information to our clearing firms.
Why can't I limit all sharing?	Federal law gives you the right to limit only ■ sharing for affiliates' everyday business purposes—information about your creditworthiness ■ affiliates from using your information to market to you ■ sharing for nonaffiliates to market to you State laws and individual companies may give you additional rights to limit sharing.

Definitions

Affiliates	Companies related by common ownership or control. They can be financial and nonfinancial companies. ■ *Northeast Assest Management, Inc., Benchmark Capital Advisors, Inc., 100 Wall Asset Management*
Nonaffiliates	Companies not related by common ownership or control. They can be financial and nonfinancial companies. ■ *Pershing LLC*
Joint marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. ■ *Northeast Securities does not jointly market*

Other important information

For Northeast Securities, Inc. clients, we recognize that your relationship with your Registered Representative is important. If your Registered Representative's affiliation with Northeast Securities, Inc. ends and he or she joins a non-affiliated securities broker- dealer with which Northeast Securities, Inc. has entered into an agreement limiting the use of information, Northeast Securities, Inc. will permit your Registered Representative to retain certain of your contact information, limited to your name, address, email address, phone number and account title. Other than the disclosure described in this paragraph or as otherwise required or permitted by law, we do not disclose any personal information about our former customers.

For more information please contact Northeast Securities, Inc. at 516-396-1600