

Frontcourt Securities (“FCS”), a wholly-owned subsidiary of Frontcourt Group, is a registered broker/dealer and member of FINRA/SIPC, and considers the protection of your information to be a most important priority. FCS’ privacy policy and practices are designed to support this objective. We want you to understand what information we collect and how we use it.

We may collect non-public, sometimes personal, information about our clients and parties who engage our firm to participate in certain securities transactions from the following sources:

* Information we receive from you on applications and other forms;
* Information we receive from you in order to provide certain investment banking advisory services;
* Information concerning your transactions with us, our affiliated persons, or others; and
* Information from a consumer-reporting agency or vendor providing anti-money laundering or Know Your Customer compliance services.

We do not disclose any non-public information about you to anyone, except as permitted or required by law.

We restrict access to non-public personal information about you to those employees, affiliated persons and registered representatives who need to have access to such information in order to provide securities-related services to you. We maintain physical, electronic, and procedural safeguards that comply with federal standards to guard your non-public personal information.

If you have any questions regarding this policy, please contact us via phone at 908-955-5815 or via email at info@frontcourtseccurities.com



Frontcourt Securities (“FCS”), has developed a Business Continuity Plan that details 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 via our main number 908-955-5815 , you may contact our alternative number: 908-955-5817. You may also contact us via email at info@frontcourtsecurities.com. If you cannot access us through any of these means, you should contact your Frontcourt point of contact for instructions on how he or she may assist you.

**Our Business Continuity Plan**: We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our 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.

Our representatives and third-party IT and electronic mail services back 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 advised our representatives that their objective is to restore their own operations and be able to assist their clients with any issues or questions. Your requests 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, or the whole region. Within each of these areas, the severities of the disruption can also vary from minimal to severe. In a disruption to only our firm or 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. 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 day. In either situation, we plan to continue in business and inform you as to how to contact us through notification through our website at https://frontcourtgroup.com/, or via our emergency number 908-955-5815. If the significant business disruption is so severe that it prevents us from remaining in business, we will ensure that we have means to advise you on how you may contact the issuers of your investments, as needed.

For more information: If you have questions about our business continuity planning, you can contact us at 908-955-5815 or via email at info@frontcourtsecurities.com.

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