

NATIONAL PLANNING HOLDINGS, INC.

Updated: February 19, 2015

PRIVACY POLICY

Preserving trust is a core value. As such, this Privacy Policy is being issued by National Planning Holdings, Inc., on behalf of itself and its affiliates¹ (collectively, “we”), in connection with our collection and use of personal information.

We recognize that you expect us to adopt policies and procedures reasonably designed to protect the information you provide us and to use it responsibly. We are committed to fulfilling the trust that is the foundation of your expectations. For that reason, we have adopted and adhere to the following policy regarding the privacy of your nonpublic personal information and personally identifiable information collected or submitted through this website or through other communications with you (collectively, Nonpublic Personal Information).

INFORMATION WE COLLECT

We may collect Nonpublic Personal Information from you that enables us to contact or communicate with you about opportunities to affiliate with our firm. This information includes, but is not limited to, your name, address, e-mail address, telephone numbers, or other information about your business practice.

HOW WE COLLECT INFORMATION

We collect Nonpublic Personal Information when you use this website and/or elect to submit information to us through this website or through follow-up phone calls or email communications we engage in with you.

HOW WE MAY USE AND DISCLOSE INFORMATION WE COLLECT

We may use and disclose your Nonpublic Personal Information as permitted or required by law and as outlined in this Privacy Policy.

We may use your Nonpublic Personal Information to process your request for additional information on our recruitment program, to provide customized recruitment information to you from us or our affiliates, to respond to inquiries or other communications from you, or to fulfill legal and regulatory requirements.

We may disclose your Nonpublic Personal Information to:

- our affiliates in connection with personnel marketing and recruiting efforts by us and/or our affiliates;
- third party service providers and vendors retained to assist us with these marketing and recruiting efforts;

¹ National Planning Holdings, Inc. serves as the holding company of four SEC dually registered broker-dealer and investment advisor firms—Investment Centers of America, Inc., INVEST Financial Corporation, National Planning Corporation and SII Investments, Inc.—and is affiliated with Jackson National Life Insurance Company. As explained, we may use and disclose personal information we collect among our affiliates.

- state, federal and other government, regulatory and self-regulatory authorities, or under a subpoena for release of information; or
- other entities with your consent.

In cases where we may disclose your Nonpublic Personal Information to third parties who assist us in marketing and recruiting efforts, we ensure that there are contractual agreements with the third party prohibiting their use and disclosure of your Nonpublic Personal Information for any purpose other than to carry out the purposes for which you provided the information, and that such third party is prohibited by law from further disclosing your Nonpublic Personal Information.

Except under the circumstances outlined above, we will not share Nonpublic Personal Information with affiliated or unaffiliated third parties for marketing purposes or otherwise.

STEPS WE TAKE TO PROTECT YOUR INFORMATION

We use security measures and procedures reasonably designed to prevent unauthorized use or access to your Nonpublic Personal Information. Our computer systems utilize password protection to prevent access by unauthorized personnel, and we employ other physical, electronic, and procedural safeguards to your Nonpublic Personal Information that comply with state and federal privacy laws. Employees are required by our Code of Conduct to keep all Nonpublic Personal Information about you in strict confidence, and are subject to disciplinary action for violation of the Code. We restrict access to your Nonpublic Personal Information to those employees who need to know that information to provide products and services to you.

AMENDMENTS TO OUR PRIVACY POLICY

When we make material amendments we will revise this Privacy Policy and post the current Policy and an appropriate notice on our website.