

# COORDINATED CAPITAL SECURITIES, INC. PRIVACY STATEMENT – 2016

It is important to us that our customers have access to important disclosures regarding accounts held through Coordinated Capital Securities, Inc. (CCS). This notice provides information we provide to customers annually and also directs you to important resources available on the Disclosure Page of our website at [www.ccsmadison.com](http://www.ccsmadison.com). If you have any questions and/or concerns about our privacy policy, your account or our services, please contact us at 704 River Place, Madison, WI 53716 or call (608)221-4545 or toll free at 800-783-6666.

**How We Collect and Use Information.** When we evaluate your request for our services, provide investment advice to you and process transactions for your account, you typically provide us with certain personal information necessary for these transactions. We may also use that information to offer you other services we provide which may meet your investment needs.

**What Information We Collect.** The personal information we collect may include name and address; employer; social security number or tax payer identification number; assets; income, account investment positions and balance; investment objectives; investment transactions; accounts at other institutions; the identities of accountants, attorneys and other professionals you engage; information we receive from third parties, including credit bureaus; and Information we obtain to verify your representations to us, such as your identity or assets.

**Sharing of Information is Limited.** We do not sell your personal information to anyone. We may disclose information about you to our employees, affiliates, registered representatives, their affiliated businesses, and third parties who provide you with financial products and services when completing a transaction at your request or when providing other services to you.

At your request, we may disclose information to nonaffiliated third parties but only when completing a transaction at your request or providing our other services to you. Nonaffiliated third parties may include retirement plan sponsors or third party administrators, mutual fund companies, insurance companies and agencies, other broker-dealers and clearing firms, accountants, lawyers, securities professionals and others to assist us, or them, in providing services to you. We may also share information with companies that perform services on our behalf, such as the companies that we hire to perform marketing or administrative services. Companies we may hire to provide support services are not allowed to use your personal information for their own purposes. We may make additional disclosures as permitted by law.

Our privacy policy is the same for current, as well as former clients. If you close your account, in the process of transferring your accounts we may share your information with the new broker dealer or custodian that you or your registered representative selects. Your registered representative may use the personal information about you in his or her files to provide you with information regarding the new firm and account transfer procedures and documents.

If you prefer that we not share your nonpublic personal information (except in those circumstances described above that are permitted or required by law), you may opt out at any time by notifying us not to share information with third parties. To notify us, please call us at 608/221-4545. You will be asked to provide identifying customer information at that time, including your social security number.

For accounts that are held jointly by more than one customer, any of the account holders may opt out on behalf of the other account holders. Any opt out instructions received from one owner of a joint account will apply also to individual accounts in that person's name, as well as other accounts held jointly by that person, based on the account information we have.

**How We Protect Information.** We treat information about current and former clients and their accounts in a confidential manner. Employees and our registered representatives are required to comply with our established information confidentiality provisions. We also maintain physical, electronic, and procedural safeguards to protect information.

**Access /Correction of Your Information.** Upon your written request, we will make available your information for review. Information collected in connection with, or in anticipation of, any claim or legal proceeding will not be made available.

If your personal information with us becomes inaccurate, or if you need to make a change to that information, please contact us at the number shown below so we can update our records. Also, if you believe someone has accessed your account without authorization, please contact us as soon as possible.

**Annual Written Notice.** We will reaffirm this policy annually in writing, as long as you maintain an ongoing relationship with us.

While this policy may change from time to time you can always review our current policy online at [www.ccsmadison.com](http://www.ccsmadison.com).

## **SIPC MEMBERSHIP**

Our firm is a member of the Securities Investor Protection Corporation (SIPC). SIPC protects the clients of its member firms against the loss of their securities in the event of the member's insolvency and liquidation. For more information on SIPC coverage, please see the explanatory brochure at [www.sipc.org](http://www.sipc.org) or contact SIPC at (202) 371-8300.

## **CHANGES TO TAX COST BASIS REPORTING**

Under revised IRS regulations, which began with the 2011 tax year, financial institutions must report certain information regarding cost basis to the Internal Revenue Service. This new reporting requirement to the IRS includes the dispositions of **covered** securities that occur on or after their effective date. The effective dates of covered securities are: Equity securities acquired on or after Jan. 1, 2011; Mutual fund and dividend reinvestment plan (DRIP) shares acquired on or after Jan. 1, 2012; Simple debt securities, options, rights and warrants acquired on or after Jan. 1, 2014 (Phase I) and more complex debt instruments acquired on or after Jan. 1, 2016 (Phase II). In accordance with current Federal tax regulations, our firm's default method is FIFO (First In First Out). To provide you with the flexibility to set an alternative relief method on an account-by-account basis, our clearing firm First Clearing supports a number of different tax lot relief methods beginning with the 2011 tax year. When using specific tax strategies, you need to be aware of the tax consequences of your trading activity throughout the entire year. **Effective with these changes, regulations dictate that changes to tax lots will not be permitted after the settlement date of the closing transaction. If you would like to sell a specific tax lot, please let your financial advisor know at or before the time of the trade.** You should consult with your tax advisor to determine the best tax lot relief method for you.

## **OTHER ACCOUNT INFORMATION**

Additional information regarding your account at CCS can be found on the Disclosure Page of our website at [www.ccsmadison.com](http://www.ccsmadison.com). This information includes our Business Continuity Plan, Customer Identification Program, Cash Sweep Options, Revenue Sharing arrangements and other contact information. We also wish to advise you that the Financial Industry Regulatory Authority (FINRA) Public Disclosure Program provides information to investors about the background, business practices and conduct of FINRA members, such as CCS and their brokers. More information about the FINRA Program can be obtained at [www.finra.org](http://www.finra.org) or by calling the FINRA hotline at (800) 289-9999.



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