

### Peak Brokerage Services Privacy Policy

At Peak Brokerage Services, LLC ("PBS"), we appreciate your business and the trust you have placed in us. As a FINRA introducing broker-dealer firm, PBS provides a variety of brokerage services to clients who have contracted for these services. PBS is required to communicate its policies related to the privacy of customer information.

We are proud of our privacy protection practices and procedures and we want you to know how we protect your information and use this information to service your account. In order to facilitate the servicing of your account, PBS may receive non-public personal information about you from the following sources:

- Information we receive from you on questionnaires, applications, account opening documents or other forms
- Information we receive about your transactions with us or others
- Information we receive from a consumer reporting agency
- Information we receive from other sources with your consent

We do not disclose any non-public personal information about you to anyone, except as permitted by law. Such disclosure may include the following:

- Disclosures to affiliates, including affiliated service providers  
*(for example, affiliated custodians for the purpose of establishing accounts on your behalf)*
- Disclosures to government agencies, securities regulators and law enforcement officials  
*(for example, for tax reporting, under a court order, or to protect our legal rights)*
- Disclosures to other organizations, made with your consent  
*(for example, other investment advisor firms in order to open a managed account with their firm or the brokerage firm they utilize)*
- Disclosures to other persons you authorize to obtain such information  
*(for example, a CPA who will be preparing your tax return or an attorney preparing legal documents)*

We will periodically deliver updates regarding the firm's policies including but not limited to updates to customer agreements and privacy policies in electronic format. If you wish to "opt-out" of receiving information via electronic format then you will need to inform us in writing via email at [Compliance@pbsrep.com](mailto:Compliance@pbsrep.com), or via fax at 866-852-1609.

PBS restricts access to your personal and account information to those of its employees who need to know that information to provide products or services to you. PBS maintains physical, electronic, and procedural safeguards to guard your non-public personal information. We will continue to adhere to the privacy policies and practices as described in this notice if you decide to close your account(s) or become an inactive customer.

If you have any questions concerning PBS's privacy policies and procedures, please feel free to contact us.