

# JCP SECURITIES

Member FINRA and SIPC

## Privacy Policy and Other Important Information

Please Take the Time To Review This Notice As It Applies To Your Relationship With Our Firm

This notice will describe to you how we handle your confidential information, how we protect it and other important information you should know about our firm.

Thank you for the trust you have placed in us. We look forward to working very hard to continue to earn your trust.

This privacy policy applies to customers or former customers of JCP Securities and its affiliated companies in the United States.

### Privacy Policy

JCP Securities and its affiliated companies is committed to maintaining the trust and confidence of our customers. We want you to know and understand how we protect your privacy as we collect and use information about you, and the measures we take to safeguard that information. Keeping our customer's information private and secure is our priority.

[What type of non-public information do we collect about you?](#)

In the course of providing service to you, we collect non-public information about you from the following sources:

- Transaction documents, applications and other standard forms. Such information includes name, address, social security number, date of birth, driver's license number and expiration date, assets, types and amount of investments, transactions and income.
- Our affiliates or others including those companies that work closely with us to provide you with diverse financial products and services. Information collected from these sources include account balance, payment history, parties to transactions, types and amounts of investments, transactions, and credit card usage.
- Consumer reporting agencies may provide us with your credit worthiness and credit history.
- Institutions where you conduct financial transaction verify that the information you provide on applications and other documents and forms is true and accurate.

[How do we protect the confidentiality and security of your non-public personal information?](#)

Keeping your information secure is one of our most important responsibilities. We restrict access to non-public personal information about you to those employees and agents who need to know the information in order to provide products or services to you. We maintain physical, electronic, and procedural safeguards that comply with federal standards to guard your non-public personal information.

## Do we disclose non-public personal information to third party affiliates?

We do not sell, share, or disclose your non-public personal information to non-affiliated third party marketing companies.

We may disclose all of the information we collect, described in the above section, to companies that perform marketing or other services on our behalf, or to other financial institutions with whom we have joint marketing agreements. All of these companies are contractually obligated to keep the information confidential and use the information only for the services required and as allowed by applicable law or regulation. These companies are not permitted to share or use information for any other purpose.

We may also disclose non-public personal information about you under special circumstances as permitted or required by law. These disclosures typically include information to process transactions on your behalf, to conduct our operations, to follow your instructions as you authorize, or to protect the security of our financial records.

## What is our policy relating to former customers?

If you decide to cease doing business with us, or you become an inactive customer, we will adhere to the privacy policies and practices as described in this notice.

We reserve the right to change this policy at any time and you will be notified if any changes occur.

If you have any questions after reading this Policy, please contact our Privacy Officer in writing at the address on the cover of this brochure.

## Business Continuity Plan (BCP)

In case of a Significant Business Disruption (SBD) scenarios of varying severity such as a disruption to a single building, a disruption to a business district or a city-wide business disruption we want to assure you that JCP Securities has a Business Continuity Plan (BCP) in place and will execute the plan as the situation warrants. JCP Securities will make all reasonable efforts to resume operations as soon as possible. JCP Securities reserves the right to make modifications to the plan without additional notification. As our client, you may receive a summary by requesting a written copy by mail to:

### JCP Securities

Compliance Department

19200 Von Karman Avenue, Suite 600

Irvine, CA 92612

## Anti-Money Laundering Customer Notice

### The USA Patriot Act

The USA Patriot Act signed by President Bush in October, 2001 imposes new anti-money laundering requirements on broker dealer firms and other financial institutions. By April 24, 2002, all broker dealers were required to have new comprehensive anti-money laundering programs in place.

## What Is Money Laundering?

Money laundering is the process of creating the appearance that large amounts of money obtained from serious crimes such as drug trafficking, originated from a legitimate source. Not only does it occur in drug related incidents but in connection with a wide variety of crimes including fraud, illegal arms sales, racketeering, robbery and terrorism.

## How Big Is the Problem and Why Is It Important?

The use of the U.S. financial system by criminals to facilitate terrorism and/or other crimes could well taint our financial markets. According to the U.S. State Department, one recent estimate put the amount of worldwide money laundering activity at \$1 trillion per year.

## What Are We Required To Do To Combat Money Laundering?

Under new rules required by the USA Patriot Act, our Anti-Money Laundering program must designate a special compliance officer, conduct employee training, conduct independent audits, and establish policies and procedures designed to detect and report suspicious transactions and ensure compliance with the new laws.

As part of these requirements, we will be asking you to provide various identification documents or other information. Until you provide the documents or information we need, we will not be able to effect any securities transactions for you.

We thank you for your patience and hope you will support our efforts to deny terrorist groups access to America's financial system.

### Public Disclosure Hotline:

For assistance with checking the background of a securities broker call the Public Hotline at (800) 289-9999.

### FINRA Regulation Web Site Address:

The investor brochure including information about the Public Disclosure Program can be found on this website  
<http://www.FINRA.org>