

World Equity Group, Inc

Privacy Policy and Business Continuity Plan Disclosure

Privacy Policy

At World Equity Group, your trust is our top priority.

The confidentiality of your personal financial information is of paramount importance to all of us, and we will remain vigilant in protecting your privacy. We are sending you this privacy notice to help you understand how we use your private financial information and to let you know what we do to help protect your privacy.

What Information Do We Collect From You and About You?

To serve your needs, World Equity Group collects information from you and about you. Some of this information is collected to satisfy certain legal and regulatory requirements, while other information is collected so that we can service your account effectively. Examples of the information that we collect includes:

- Information from your account application and other forms, such as name, address, Social Security number, telephone number, employment information, income, net worth, investment experience, and other information to service your account effectively. We may also collect information from consumer reporting agencies.
- Information provided by you when you visit us in person, over the telephone, through the mail or via e-mail.
- Information about your financial transactions, including securities purchased and sold, fund transfers, account balances, and other account activities.

To Whom Do We Disclose Your Information?

World Equity Group, Inc. does not sell your personal financial information to anyone.

However, we do disclose your personal information to third parties or outside companies that help us process your transactions or service your account. One such company is the clearing firm, which processes your transactions and acts as the account custodian. Other companies to whom we may disclose your personal information include outside investment advisors or asset managers, variable annuity or insurance companies, mutual fund companies or the like. We may also provide information to outside service providers that print and mail your account statements. Any outside company or third party provider must limit their use of your information to the purpose for which it was provided.

World Equity Group, Inc. may also provide your personal information when permitted or required by law or regulation. Examples include providing information in response to a subpoena or court order, to cooperate with regulators, governmental authorities or law enforcement authorities, or in response to a request from a consumer reporting agency.

Outside of these circumstances, we will not provide your personal information to third parties unless you have specifically asked us to do so.

What Do We Do To Protect Your Personal Information?

We restrict access of your personal financial information to personnel who require that information to service your business. All employees are trained regarding the policies and procedures encompassed by this privacy policy. We maintain physical, electronic and procedural safeguards to guard your personal information.

This privacy policy applies to all of our current and former clients. If in the future this privacy policy needs to change for any reason, we will provide you with written notification of the change, allowing you the opportunity to opt-out. For questions regarding World Equity Group, Inc.'s privacy policy, please call us at (847) 342-1700.

Business Continuity Planning Disclosure

World Equity Group has developed a Business Continuity Plan which 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 your World Equity Group representative as you normally do, you can call the firm’s main office at (847) 342-1700, or look for information on the firm’s website at www.worldequitygroup.com. In addition, you can e-mail your representative for information, or you can e-mail the firm’s corporate offices at rbabjak@weg1.com. If you cannot access us through either of those numbers or through e-mail, you should contact one of our clearing firms, *RBC CS*, at www.rbccorrespondentservices.com or *Pershing LLC*, at www.pershing.com via the web for instructions on how they may provide you with prompt access to funds and securities, as well as enter and process orders on your behalf.

Our Business Continuity Plan – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and 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 back up 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; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Both of our clearing firms, *RBC CS* and *Pershing LLC*, 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 been advised by both of our clearing firms that their objective is to restore their clearing and settlement operations within 4 hours, and to complete existing transactions and accept new transactions and payments within the same business day. Your orders and requests for funds and securities 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, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within 4 hours. 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 business day. In either situation, we plan to continue in business, transfer operations to our clearing firms if necessary, and notify you through our main telephone number (847-342-1700), or web site (www.worldequitygroup.com) about how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer’s prompt access to their funds and securities.

For more information – If you have questions about our Business Continuity Plan, you can contact us (847) 342-1700.