

Tandem Securities, Inc.
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Policy on Protection of Consumer Information and Records

Tandem Securities, Inc. (“Tandem”) is a member broker/dealer of FINRA and is required to meet the requirements of the SEC Regulation S-P, “Privacy of Consumer Financial Information” (“Privacy Act”).

In part, the Privacy Act requires that each broker/dealer adopt policies and procedures that address the protection of customer information and records.

In order to comply with SEC Regulation S-P, Tandem Securities, Inc. is providing you with this statement regarding its policies on the handling of confidential consumer information. This makes up Tandem Securities’ Policy on Protection of Consumer Information and Records.

Tandem receives confidential information in the course of its business. This includes subscription documents and questionnaires that have been filled out by its investors. These may contain social security numbers, home addresses, annual income, net worth, education background, Employer Identification Numbers and other related data that is essential for Tandem to have in determining the suitability of the investors.

It is the policy of Tandem to keep all such records in utmost confidence. It is also Tandem’s policy not to release such information to any third party. Tandem has no affiliates who would need or want such information. Tandem’s employees are initially and continually alerted to the fact that Tandem obtains confidential information about its investors which must be held in the strictest confidence.

Tandem does not disclose any non-public personal information about its investors to anyone, except as permitted by law.

Tandem restricts access to anyone’s personal information to those Tandem employees who need to know that information to provide products or services to its customers. Tandem maintains physical, electronic, and procedural safeguards to guard customers’ non-public personal information. These safeguards include keeping all confidential information within premises that are locked or manned at all times, maintaining a strict confidentiality policy, and discussing Tandem’s confidentiality policies at its company meetings, such as the Annual Compliance Meeting.

Please do not hesitate to contact Tandem Securities if you have any questions regarding the protection of your confidential information.