

FACTS	WHAT DOES SEQUENCE FINANCIAL SPECIALISTS LLC DO WITH YOUR PERSONAL INFORMATION?		
Why?	Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal Information. <i>Please read this notice carefully to understand what we do.</i>		
What?	The types of personal information we collect and share depend on the product or service you have with us. This information can include (i) social Security number and income, (ii) account transactions and balances, and/or (iii) assets and investment experience. When you are no longer our customer, we continue to share your information as described in this notice.		
How?	All financial companies need to share customer’s personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customer’s personal information; the reasons SFS chooses to share; and whether you can limit this sharing. Please note that Sequence does not “sell” your personal information, with “sell” meaning the disclosure of personal information to a third party for monetary or other valuable consideration.		
Reasons Sequence can share your personal information		Does SFS share?	Can you limit this sharing?
For everyday business purposes - such as to process your transactions, respond to court orders and legal investigations, or report to credit bureaus		Yes	No
For compliance with rules & regulations - information about your transactions and communications provided to non-affiliated brokerage or investment advisory firms when required to comply with supervisory rules and regulations		Yes	No
For marketing purposes - to offer our products and services to you		Yes	No
For joint marketing with other financial companies		Yes	No
For our affiliates’ everyday business purposes - information about your transactions and experiences		Yes	No
For our affiliates’ everyday business purposes - information about your creditworthiness		No	N/A
For our affiliates to market to you		No	N/A
For nonaffiliates to market to you		No	N/A

Who we are	
Who is providing this notice?	Sequence Financial Specialists LLC (“Sequence” or “SFS”)
What we do	
How does Sequence protect my information?	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.
How does Sequence collect my personal information?	<p>We collect your personal information, for example, when you</p> <ul style="list-style-type: none"> <li>▪ Submit subscription agreements or perform transactions</li> <li>▪ Make a wire transfer or tell us where to send money</li> <li>▪ Tell us about your investment or retirement portfolio</li> </ul> <p>We also collect personal information from others such as credit bureaus, affiliates and other companies</p>
Why can’t I limit all sharing?	<p>Federal law gives you the right to limit only</p> <ul style="list-style-type: none"> <li>▪ Sharing for affiliates’ everyday business purposes- information about your creditworthiness</li> <li>▪ Affiliates from using your information to market to you</li> <li>▪ Sharing for nonaffiliates to market to you</li> </ul> <p>State laws and individual companies may give you additional rights to limit sharing. See below for more on your rights under state law.</p>
How do I limit sharing?	<ul style="list-style-type: none"> <li>▪ Call 843-853-8222, or</li> <li>▪ Visit us online: <a href="https://sequencefinancialspecialists.com/">https://sequencefinancialspecialists.com/</a></li> </ul> <p><i>Please note: If you are a new customer, we can begin sharing your information from the date we sent this notice. When you are no longer our customer, we continue to share your information as described in this notice. However, you can contact us at any time to limit our sharing</i></p>
What happens when I limit sharing for a transaction jointly with someone else?	Your choices will apply to everyone on your transaction registration
Definitions	
Affiliates	<p>Companies related by common ownership, control, or directly involved in execution and settlement of client transactions. They can be financial and non-financial companies.</p> <ul style="list-style-type: none"> <li>• Our parent company, Sequence Holdings LLC</li> <li>• Affiliates, InvestAmerica LLC and Sequence Real Estate LLC</li> </ul>
Nonaffiliates	<p>Companies not related by common ownership, control, or directly involved in execution and settlement of client transactions. They can be financial and non-financial companies.</p> <ul style="list-style-type: none"> <li>▪ Non-affiliates we may share information with include your independent Financial Professional’s brokerage or investment advisory firm.</li> </ul>
Joint Marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you.

## Other Important Information

Financial Professionals ("FA") may change brokerage firms and nonpublic personal information collected by us and your FA may be provided to the new firm so your FA can continue to service you. If you do not want your FA to provide this information to the new firm, please call 843-853-8222 to opt out of this sharing. Opt in states, such as California and Vermont and others, require your affirmative consent before the advisor can provide your nonpublic information to the new firm.

You can provide or withdraw this consent at any time by contacting 843-853-8222. If your FA is also affiliated with a bank, credit union, or other financial institution, and that financial institution enters into a relationship with a new financial services provider, we may share your information with the new financial services provider so your FA can continue to service you.

**Vermont:** In accordance with Vermont law, we will not disclose information about your creditworthiness to our affiliates and will not disclose your personal information, financial information, credit report, or health information to nonaffiliated third parties to market to you, other than as permitted by Vermont law, unless you authorize us to make those disclosures. Additional information concerning our privacy policies can be found at <https://sequencefinancialspecialists.com/> or call 843-853-8222.

**California:** In accordance with California law, we will not share information we collect about you with companies outside of Sequence Financial Specialists, unless the law allows. For example, we may share information with your consent, to service your accounts, or to provide rewards or benefits you are entitled to. We will limit sharing among our companies to the extent required by California law. For additional information regarding your rights, please refer to the privacy notice (ccpa) for California residents at [harborfs.com](https://harborfs.com).

**Nevada:** In accordance with Nevada law, if you would like to be placed on our Internal Do Not Call List, please call **843-853-8222**. For more information, you may contact Sequence Financial Specialists, 181 E Evans St Suite C-1 Florence, SC 29506, or the Bureau of Consumer Protection, Office of the Nevada Attorney General, 555 E. Washington St., Suite 3900, Las Vegas, NV 89101. Phone number: 1.702.486.3132; email: [BCPINFO@ag.state.nv.us](mailto:BCPINFO@ag.state.nv.us).

Questions?

Call 843-853-8222 or go to <https://sequencefinancialspecialists.com/>