

Privacy Policy

We collect nonpublic personal information about you from the following sources:

Categories of Information Regiment Securities, LLC/Regiment, LLC Collects

Regiment collects the following nonpublic personal information about you:

- Information Regiment receives from you from the following sources: Information we receive on applications, subscription documents or other forms, correspondence, or conversations (such as your name, address, phone number, social security number and date of birth); and
- Information about your transactions with Regiment, their affiliates, or others (such as your account number and balance, payment history, parties to transactions, cost basis information, and other financial information).

Categories of Information Regiment Discloses

Regiment does not disclose any nonpublic personal information about their current or former clients or accounts to unaffiliated third parties, except as required or permitted by law. Regiment is permitted by law to disclose all of the information they collect, as described above, to their service providers (such as the clearing firm) to process your transactions and otherwise provide services to you.

Confidentiality and Security

Regiment restricts access to your nonpublic personal information to those persons who require such information to provide products or services to you. Regiment maintains physical, electronic, and procedural safeguards that comply with federal standards to guard your nonpublic personal information.