

Privacy Policy

National Holdings Corporation (“NHLD”), and its subsidiaries and affiliates, collectively (“We”) or (“Us”), care about your privacy and recognize the importance of protecting personal information. This Privacy Policy describes the types of personal information We may collect, and personal information that We may share with certain entities, including subsidiaries and affiliates of National Holdings Corporation’s parent company, B. Riley Financial, Inc., and how We protect personal information.

For purposes of this Privacy Policy, “personal information” means information that identifies, relates to, describes, is reasonably capable of being associated with, or could reasonably be linked, directly or indirectly, with a particular consumer or household. It does not include de-identified or aggregate information, or public information lawfully available from governmental records.

Categories of Personal Information

- Contact information and other personal identifiers, such as name, postal and email address, phone number, unique personal identifier, account name, registration number, tax identification number, social security number, driver’s license number, passport number, and similar identifiers.
- Financial, commercial and benefits information, such as records and information about personal property or financial accounts, investments, products, and services; purchasing or consuming histories; investment objectives, risk tolerance, time horizon, assets, holdings and financial interests, income and compensation, expenses, tax information, transaction history, investment experience; other account information; information on savings, insurance, and retirement; other benefits-related information; and other commercial and financial information.
- Demographic, protected classification, and association information, such as date of birth/age, sex, marital status, race, gender, ethnicity, citizenship and visa status, military or veteran status; association-related information, such as whether an individual is related to someone who is employed in the securities industry, information about dependents, beneficiaries, and parties related to an account, emergency contact information; and disability and health-related information.
- Inferences drawn from personal information to create a profile about an individual reflecting, for instance, preferences, characteristics, behaviors, and aptitudes, such as credit history and risk tolerance, and business development and practice analysis.

Collection of Information

While providing service to you, We collect personal information from the following sources: Account applications and other standard forms related to your accounts and information that you disclose to your Registered Representative or Financial Advisor; the information collected may include your name, address, social security number, assets, types and amounts of investments, transactions and income; your transactions with Us; from those that work closely with Us to provide you with diverse financial products and services; these entities may be, custodians, open and closed-end mutual fund companies, variable life insurance companies, or other companies whose products are sold by Us or companies We may use to provide services for Us; consumer reporting agencies, including information

concerning your credit worthiness and credit history; information obtained from third parties when verifying applications or other forms; this may be obtained from your current or past employers or from other institutions with which you conduct financial transactions.

Disclosure of Information

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

We will not disclose any nonpublic personal information collected about you except to:

- nonaffiliated third parties in connection with the creation or maintenance of your investment account(s) and to help us process transactions for your account(s).
- to nonaffiliated third parties who are financial service providers, such as custodians, open and closed-end mutual fund companies, variable life insurance companies, or other companies whose products are sold by Us or companies We may use to provide services for Us.
- Affiliated NHD companies
- Subsidiaries of National Holding Corporation's parent company, B. Riley Financial, Inc.
- Information as permitted or required by law, such as self-regulatory organizations, to comply with applicable laws and legal requirements or in response to court orders, subpoenas, government inquiries, other legal processes, to defend against claims and allegations, or to protect property, personnel, or members of the public.

Protection of Information

We take precautions to ensure your nonpublic personal information is protected and accessed only by authorized individuals or organizations. We restrict access to nonpublic information about you to employees and agents who need to know the information. We maintain physical, electronic, and procedural safeguards that comply with federal standards to guard your nonpublic personal information.

Changes to Privacy Policy

We may revise this policy at our discretion and will update it as needed. Please review the latest privacy policy on our website.

How to Contact Us

If you have any further questions, please contact us at: National Securities Corp., 5000 T-Rex Ave Suite 300, Boca Raton, FL 33431 or 561-981-1000 or compliance@yournational.com.