

Privacy Notice

National Asset Management, Inc. (NAM) has designed this privacy policy to protect the confidentiality of information we receive about our current and former customers.

Nonpublic Personal Information Collected:

NAM collects nonpublic personal information about you from the following sources: (a) information received from you in connection with applications and other forms for establishing and maintaining your investment accounts, (b) information about your transactions with us, our affiliates or others, and (c) information we receive from a consumer reporting agency.

Disclosure of Nonpublic Personal Information:

NAM will not disclose any nonpublic personal information collected about you except to nonaffiliated third parties who are financial service providers, such as custodians, third-party managers and submanagers, open and closed-end mutual fund companies, insurance companies, or other companies whose products or advisory services are offered by NAM and in which you participate, as well as companies we may use to provide services for us, such as data processing companies, and to affiliated companies. Affiliated companies to whom any nonpublic information may be disclosed include entities within NAM's family of financial services companies, including but not limited to, National Holdings Corporation, National Securities Corporation, National Insurance Corporation, vFinance Investments, Inc., and EquityStation, Inc.

NAM may also disclose any nonpublic personal information we have collected about you to an investment advisory firm with whom your investment advisory representative becomes associated if he or she changes advisory firms. You have the right to opt out of disclosure to such a firm by contacting NAM at (800) 742-7730.

We do not disclose any nonpublic personal information about our customers or former customers to any other persons, except as permitted by law, or with your consent.

Protection of Your Information:

NAM and its affiliates take precautions to ensure your nonpublic personal information is protected and accessed only by authorized individuals or organizations. Within NAM and its affiliates, 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.