

## Anti-Money Laundering Customer Notice

### The USA PATRIOT ACT

The USA Patriot Act signed in October 2001 imposes new anti-money laundering requirements on brokerage firms and other financial institutions. All brokerage firms are required to have a comprehensive anti-money laundering program in place.

### WHAT IS MONEY LAUNDERING?

Money laundering is the process of creating the appearance that large amounts of money obtained from illegal activity originated from a legitimate source.

### HOW BIG IS THE PROBLEM AND WHY IS IT IMPORTANT?

The use of the U.S. financial system by criminals to facilitate terrorism and/or other crimes could well taint our financial markets. According to the U.S. State Department, one recent estimate put the amount of worldwide money laundering activity at \$1 trillion/ year.

### WHAT ARE WE REQUIRED TO DO TO COMBAT MONEY LAUNDERING?

Under new rules required by the USA Patriot Act, our Anti-Money Laundering program must designate a special compliance officer, conduct employee training, conduct independent audits, and establish policies and procedures designed to detect and report suspicious transactions and ensure compliance with the new laws.

As part of these requirements, we will be asking you to provide various identification documents or other information. Until you provide the documents or information we need, we will not be able to open an account or effect any transactions for you.

### Please Take the Time To Review This Notice As It Applies To Your Relationship With Our Firm

This notice will describe to you how we handle your confidential information, how we protect it and other important information you should know about our firm.

Thank you for the trust you have placed in us. We look forward to working very hard to continue to earn your trust. This privacy policy applies to customers or former customers of WBB Securities, LLC in the United States.

### FINRA Public Disclosure Hotline:

For assistance with checking the background of a broker call the FINRA Public Disclosure Hotline at (800) 289-9999.

### FINRA Regulation Web Site Address:

The investor brochure including information about the Public Disclosure Program can be found on this website [www.finra.org](http://www.finra.org).

### Investment Adviser Public Disclosure (IAPD):

For assistance with checking the background of an adviser representative you can visit <http://www.adviserinfo.sec.gov>. This site allows you to search for an individual investment adviser representative or investment advisor firm, to confirm registration status. You may also gain access to "Form ADV" from this link.

### SEC Investor Web Site:

The SEC's Office of Investor Education and Advocacy provides a variety of services and tools to address questions you may face as an investor. The SEC has dedicated this website to investors: <http://www.investor.gov>.

### Annual Offer of Form ADV Brochure:

Annually, WBB is required to offer delivery to each of its investment advisory clients, upon written request, its Form ADV Brochure (Part 2). Clients who would like to receive a copy of this document should send a written request to us at the address on the front of this brochure.

### Questions or Complaints:

If you have questions or complaints about the services provided by WBB or associated persons representing, WBB please contact our Chief Compliance Officer at 858-592-9901.

These disclosures are also available on our web site. [www.wbbsec.com](http://www.wbbsec.com).



WBB Securities, LLC

## Privacy Policy and Other Important Disclosure Information



20 Commerce Drive  
Suite 135  
Cranford, NJ 07016  
Phone: 858-592-9901  
[www.wbbsec.com](http://www.wbbsec.com)

# Privacy Policy

WBB Securities is committed to maintaining the trust and confidence of our customers. We want you to know and understand how we protect your privacy as we collect and use certain information about you, and the measures we take to safeguard that information. Keeping our customer's information private and secure is our highest priority.



## What type of non-public information do we collect about you?

In the course of providing service to you, we collect non-public information about you from the following sources:

- Account applications and other standard forms. Such information includes name, address, social security number, types and amount of investments, transactions, net worth, value of other assets and income.
- Our affiliates or others including those companies that work closely with us to provide you with diverse financial products and services. Information collected from these sources include account balance, payment history, parties to transactions, types and amounts of investments, transactions, and credit card usage.
- Consumer reporting agencies may provide us with your credit worthiness and credit history.
- Institutions where you conduct financial transactions verify that the information you provide on applications and other forms is true and accurate.

## How do we protect the confidentiality and security of your non-public personal information?

Keeping your information secure is one of our most important responsibilities. We restrict access to non-public personal information about you to those employees and agents who need to know the information in order to provide products or services to you. We maintain physical, electronic, and procedural safeguards that comply with federal standards to guard your non-public personal information.

## Do we disclose non-public personal information to third party affiliates?

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

We may disclose all of the information we collect, described in the above section, to companies that perform marketing or other services on our behalf, or to other financial institutions with whom we have joint marketing agreements. All of these companies are contractually obligated to keep the information confidential and use the information only for the services required and as allowed by applicable law or regulation. These companies are not permitted to share or use information for any other purpose.

We may also disclose non-public personal information about you under special circumstances as permitted or required by law. These disclosures typically include information to process transactions on your behalf, to conduct our operations, to follow your instructions as you authorize, or to protect the security of our financial records.

## What is our policy relating to former customers?

If you decide to become an inactive customer with

WBB, we will adhere to the privacy policies and practices as described in this notice. A full copy of our Privacy Policy may be accessed from our website at [www.wbbsec.com](http://www.wbbsec.com). We reserve the right to change this policy at any time.

If you have any questions after reading this Policy, please contact our Chief Compliance Officer at the phone number listed on the cover of this brochure.

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## Business Continuity Plan (BCP)

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In case of a Significant Business Disruption (SBD) scenarios of varying severity such as a disruption to a single building, a disruption to a business district or a city-wide business disruption we want to assure you that WBB Securities has a Business Continuity Plan (BCP) in place and will execute the plan as the situation warrants. We will make all reasonable efforts to resume normal operations within 24 hours, or as soon as possible. WBB reserves the rights to make modifications to the plan without notification. As our client, you may receive a summary by requesting a written copy by mail to:

**WBB Securities, LLC**  
**Compliance Department**  
**20 Commerce Drive**  
**Ste: 135**  
**Cranford, NJ 07016**  
**[www.wbbsec.com](http://www.wbbsec.com)**