



PRIVACY* at First Midwest Securities, Inc.
First Midwest Securities, Inc. (FMSI)
is concerned about maintaining your privacy
in this age of “identity theft.”

Information we need to open your account

FMSI is required by law to collect personal information from you during the account opening process. This information is recorded on a “new account form” and is used to determine suitability for various types of investments. While we are required by various regulatory authorities to request this information, clients are not required to provide it. Both your investment representative and FMSI maintain copies of the completed account forms in secure locations. Only authorized regulatory authorities and compliance officials of FMSI have access to this information. The information is not accessible to anyone else. We provide a copy of the new account form to you after the account is opened and ask you to review the information listed on the form. If any information is not accurately reflected on the forms, please call your representative or FMSI to make the necessary changes.

Categories of Information We Disclose and to Whom

FMSI does not disclose any personal information about our customers or former customers to anyone, except as permitted or required by law. Through normal business operations, FMSI may disclose the types of information below to companies that assist us conduct our business, that perform administrative or other services on our behalf, or other financial institutions with which we have joint marketing agreements:

- Information we receive from you on applications and other forms, such as name, address, Social Security Number, assets and income;
- Information about your transactions with us, our affiliates or others, such as policy coverage, premiums, and payment history; and
- Information received from consumer reporting agencies and other sources, such as your credit worthiness and history, medical information and employment information.

When information is disclosed to third parties as described above, we require recipients to adhere to appropriate confidentiality procedures and practices to protect the privacy of our customers.

Fair Credit Reporting Act

FMSI does not share information subject to the Fair Credit Reporting Act with our affiliates except as permitted or required by law.

Confidentiality and Security of Your Information

FMSI maintains adequate physical, electronic, and procedural safeguards to protect the confidentiality and security of our customers’ nonpublic personal information. We strive to educate our employees about the terms and conditions of this Notice and the importance of customer privacy. Access to nonpublic personal information is restricted to those employees and others who need to know information to provide products or services to our customers, to maintain accounts, or conduct our business.

Accuracy and Availability of Your Records

Accuracy of our customers’ information is important to FMSI. In order to maintain that accuracy, our customers have the right to reasonably access their information. If our customers believe any information in our possession is inaccurate, a request to amend or delete the information to be erroneous is strongly encouraged. If upon researching the request and FMSI concurs, the information in question will be amended or deleted.

Your Medical Information

FMSI does not share nonpublic personal health information except as necessary to assist in underwriting a product, servicing a policy, as authorized by our customers, or as permitted or required by law.

What this means to our Customers

This Privacy Notice applies to our relationships with individual consumers who inquire about and/or obtain products or services from FMSI for personal, family, or household purposes.

Since FMSI does not share information outside permitted exceptions; there is no need to for our customers to take any action under this Notice. In the event of any questions concerning this Privacy Notice, please write the Privacy Officer at First Midwest Securities, Inc., Attn: Privacy Officer, 207 W. Jefferson Street, Suite 102, Bloomington, IL 61701.

FMSI reserves the right to change this Privacy Notice at any time.

* Pursuant to Title V of the Gramm-Leach-Bliley Act and United States Securities and Exchange Commission (“SEC”) Regulation S-P (17 CFR 248.1 – 248.30), this document sets forth the Privacy Policy of First Midwest Securities, Inc. (“FMSI”) concerning the privacy interests of individual consumers and customers (referred to as “customers”) of financial institutions.