



PRIVACY NOTICE

Harvestons Securities, Inc. recognizes the importance of keeping our customers' confidential financial information private. This Privacy Notice, which is required by law, explains our Privacy Policies.

1. We will safeguard, according to strict standards of security and confidentiality, nonpublic, personal information our customers share with us. "Nonpublic, personal information," for example, would include such information as your name, address, social security number, and credit information. We will maintain safeguards, physical and electronic, to protect that information. We will conduct our business in a manner that keeps personal customer information secure.
2. We will limit the collection and use of customer information to the minimum we require to deliver superior service and to administer our business, recognizing, however, that we do need to obtain information to make suitable recommendations and to conduct appropriate "due diligence" in our investment banking business. We collect personal information from customers from the following sources:
 - From customers on subscription agreements, applications and related forms;
 - From your transactions with us, our affiliates and others;
 - From consumer reporting agencies;
 - From non-affiliated third parties.
3. It is our policy that only authorized employees of Harvestons, their agents and their staff who need to know your personal information will access it and use it. Workers of Harvestons who violate our Privacy Policies are subject to discipline.
4. It is our policy that we will not share personal customer information (of either current or former customers) outside of Harvestons for any purpose other than the providing of investment banking services or the brokering or underwriting of securities transactions on behalf of the customer, unless the disclosure has been authorized by the customer or is permitted by law.
5. Whenever we retain other organizations to provide support services on behalf of Harvestons, we will require them to protect customers' personal information.
6. When necessary, we will review and revise our Privacy Policies to protect personal customer information.

PATRIOT ACT NOTICE

Important Information About Procedures for Opening a New Account

To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account.

What this means for you: When you open account, we will ask for your name, address, date of birth and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents.

SIPC NOTICE

Harvestons is a member of the Securities Investor Protection Corporation (SIPC). Customers may obtain information about SIPC, including a SIPC brochure, by accessing SIPC's website at www.sipc.org or by calling (202) 371-8300.



FINRA PUBLIC DISCLOSURE PROGRAM

Harvestons is a member of the Financial Industry Regulatory Authority, Inc. (FINRA), which operates a public disclosure program known as BrokerCheck. Information about securities brokers and brokerage houses may be accessed, and a brochure is available, by contacting FINRA at (800) 289-9999 or by visiting FINRA's website at www.finra.org.

REPORT AVAILABLE ON ORDER ROUTING

Per SEC Rule 11Ac1-6, and Rule 606 of Regulation NMS, Harvestons makes publicly available for each calendar quarter a report on its routing of non-directed orders in covered securities during that quarter. This report is available upon request.

PAYMENT FOR ORDER FLOW POLICY

Per SEC Rule 11Ac1-3, and Rule 607 of Regulation NMS, Harvestons must inform its customers of its policies regarding payment for order flow. Harvestons does not accept payment for order flow.

MARGIN ACCOUNT DISCLOSURE STATEMENT

Securities purchased on margin are the firm's collateral for the loan to you. If the securities in your account decline in value, so does the value of the collateral supporting your loan, and, as a result, the firm can take action, such as issue a margin call and/or sell securities or other assets in any of your accounts held with the member, in order to maintain the required equity in the account.

It is important that you fully understand the risks involved in trading securities on margin. These risks include the following:

- **You can lose more funds than you deposit in the margin account.**
- **The firm can force the sale of securities or other assets in your account(s).**
- **The firm can sell your securities or other assets without contacting you.**
- **You are not entitled to choose which securities or other assets in your account(s) are liquidated or sold to meet a margin call.**
- **The firm can increase its "house" maintenance margin requirements at any time and is not required to provide you advance written notice.**
- **You are not entitled to an extension of time on a margin call.**