PRIVACY NOTICE

USA FINANCIAL SECURITIES®
Member FINRA / SIPC • Registered Investment Advisor

FACTS

WHAT DOES USA FINANCIAL DO WITH YOUR PERSONAL INFORMATION?

WHY?

Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.

WHAT?

The types of personal information we collect and share depend on the products or services you have with us. This information can include:

- **SOCIAL SECURITY NUMBER, NET WORTH, AND INCOME**
- **ACCOUNT BALANCES AND TRANSACTION HISTORY**
- **ACCOUNT NUMBERS AND CREDIT SCORES**

When you are no longer our customer, we continue to share your information as described in this notice.

HOW?

All financial companies need to share customers' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' personal information; the reasons **USA Financial Securities** chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does USA Financial Securities share?	Can you limit this sharing?
For our everyday business purposes- such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	**Yes**	**No**
With other members of your household- Your account information is shared with other members of your household who also have accounts with us	**Yes**	**Yes - Please contact USA Financial at 888-407-8198**
For our marketing purposes- to offer our products and services to you	**Yes**	**No**
For joint marketing with other financial companies	**No**	**N/A - We don't share**
For our affiliates' everyday business purposes- information about your transactions and experiences	**Yes**	**No**
For our affiliates' everyday business purposes information about your creditworthiness	**No**	**N/A - We don't share**
For our affiliates to market to you	**Yes**	**Yes - Please contact USA Financial at 888-407-8198**
For nonaffiliates to market to you	**No**	**N/A - We don't share**

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QUESTIONS

WHO WE ARE	
Who is providing this notice?	USA Financial Securities LLC

WHAT WE DO	
How does USA Financial Securities protect my personal information?	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings. Additionally, our employees are trained on how to properly handle personal, non-public information. Any individual requesting non-personal, confidential information is required to verify his/her identify before any information is discussed or released.
How does USA Financial Securities collect my personal information?	We collect your personal information (typically via new account or existing account documents), for example, when you: ■ **open an account or deposit funds** ■ **engage in securities transactions or request investment advice** We also collect your personal information from others, such as credit bureaus, affiliates, or other companies. USA Financial Securities needs the information to process and service your account and to comply with regulatory rules and requirements related to suitability and supervision.
Why can't I limit all sharing?	Federal law gives you the right to limit only: ■ **sharing for affiliates' everyday business purposes-information about your creditworthiness** ■ **affiliates from using your information to market to you** ■ **sharing for nonaffiliates to market to you** State laws and individual companies may give you additional rights to limit sharing. See below for more on your rights under state law.
How does USA Financial Securities safeguard checks submitted with my account applications?	USA Financial Securities strives to process transactions the same day they are received. However, if the paperwork is not in good order or additional follow-up/documentation is required, our home office is permitted to hold the paperwork and any checks for up to seven business days after a complete and correct application has been received, in order to comply with regulatory suitability-review requirements. During this time, your file (new account application, product application, checks, etc.) will be locked in a secure cabinet to ensure unauthorized individuals cannot access your personal information. Once the transaction is approved by a firm principal, it will be processed accordingly and any checks submitted with the business will be sent to the issuer or product company.

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DEFINITIONS

Affiliates	Affiliates are companies related by common ownership or control. They can be financial and nonfinancial companies.
Nonaffiliates	Nonaffiliates are companies not related by common ownership or control. They can be financial and nonfinancial companies. ■ **Nonaffiliates USA Financial shares with may include other companies in the financial services industry that your financial professional may register with upon leaving USA Financial Securities. This can also include affiliated and non-affiliated representatives who purchase your financial professional's business. If you opt-out of this sharing, your current financial adviser's ability to service your account will be restricted.**
Joint Marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you.

OTHER IMPORTANT INFORMATION

If you live in Alaska, California, Louisiana, Massachusetts, North Dakota, or Vermont, under certain circumstances, we are required as a financial institution to obtain your affirmative consent to share your personal information with a non-affiliate. If you live in any state other than those listed, under certain circumstances, you may opt-out of USA Financial Securities sharing your personal information with a non-affiliate. Whether you opt in or out, you will continue to receive annual privacy notices as required by the SEC. However, you do not need to respond to maintain a previous opt-in or opt-out designation. To exercise your rights, contact us at 888-407-8198.

ANNUAL FIRM BROCHURE OFFER

USA Financial Securities' Firm Brochure (which was provided to you when you opened an account with our firm) discloses important information regarding our firm's business practices. Pursuant to SEC rules, we are obligated to offer our clients a copy of our Form ADV, annually. If you are interested in receiving a copy of our Firm Brochure, we will provide one to you, upon written request to the following address: USA Financial Securities LLC, 6020 East Fulton Street, Ada, MI 49301. You may also call the compliance department at 888-444-0125.

USA Financial Securities' last ADV update was April 27, 2026. Included in this update was:

- Item 7 – Advisory Services: Added disclosure that USA Financial Securities representatives may provide ERISA 3(21) non discretionary investment advice to employer sponsored retirement plans.
- Item 10 – Other Financial Industry Activities and Affiliations: Added information regarding the Growth Keeper incentive program, which may create production based conflicts of interest for USA Financial Securities representatives.
- Added disclosures regarding ERISA related conflicts of interest when acting in a 3(21) fiduciary capacity.
- Added information regarding possible custodian incentives, including payments or reimbursements that may influence custodian recommendations.

You can find additional information regarding our firm and our ADVs by visiting the Investment Adviser Public Disclosure ("IAPD") System (www.adviserinfo.sec.gov). You can also find additional disclosures on our website at www.usafinancialsecurities.com/reg-bi/.

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RULE 606 ORDER FLOW REPORT

1. The Securities and Exchange Commission ("SEC") requires that all broker-dealers who route equity orders and options securities provide a quarterly report outlining their routing practices, pursuant to Rule 606. As your financial professional's broker-dealer, USA Financial Securities LLC ("USA Financial Securities") is sending you this notice as a reminder regarding the availability of our order routing reports.

   USA Financial Securities places equity orders exclusively with our clearing broker, Pershing LLC ("Pershing"), for routing and execution. USA Financial Securities does not have discretion regarding Pershing's routing and execution decisions, nor do we receive payment for directing orders to Pershing.

   You can view USA Financial Securities quarterly order routing reports by visiting: www.orderroutingdisclosure.com.

   1. Enter "USA FINANCIAL SECURITIES" in the *Enter Broker-Dealer's Full Name* field.
   2. From there, select USA Financial Securities' name under the Search Results and the website will display the Firm's most recently available quarterly report.
   3. By utilizing the *Period* drop down menu at the top of the screen, you can view USA Financial Securities' past quarterly reports by selecting the period you wish to view and hitting *Display*.

   USA Financial Securities does not engage in options trading.

   If you have questions regarding this notice or USA Financial Securities' order routing please contact (888) 407-8198.

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