



NORTHERN LIGHTS

DISTRIBUTORS

Rev. March 2019

FACTS	WHAT DOES NORTHERN LIGHTS DISTRIBUTORS, LLC ("NLD") 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?	<p>The types of personal information we collect and share depend on the product or service you have with us. This information can include:</p> <ul style="list-style-type: none"> • Social Security number • Employment information • Account balances • Account transactions • Income • Investment experience <p>When you are no longer our customer, we continue to share your information as described in this notice.</p>
How?	All financial companies need to share a customer's personal information to run their everyday business - to process transactions, maintain customer accounts, and report to credit bureaus. In the section below, we list the reasons financial companies can share their customer's personal information; the reasons NLD chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does NLD 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
For our marketing purposes -- to offer our products and services to you	Yes	No
For joint marketing with other financial companies	Yes	No
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	We don't share
For nonaffiliates to market to you	No	We don't share

Questions?	Call (402) 493-1731 or go to www.nldistributors.com
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Who we are	
Who is providing this notice?	Northern Lights Distributors, LLC
What we do	
How does NLD 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.
How does NLD collect my personal information?	<p>We collect your personal information, for example, when you</p> <ul style="list-style-type: none"> • open an account • give us your income information • provide employment information • provide account information • give us your contact information • visit our website <p>We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.</p>
Why can't I limit all sharing?	<p>Federal law gives you the right to limit only</p> <ul style="list-style-type: none"> • 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 <p>State laws and individual companies may give you additional rights to limit sharing.</p>
Definitions	
Affiliates	<p>Companies related by common ownership or control. They can be financial and nonfinancial companies.</p> <p><i>Affiliates of NLD include:</i></p> <ul style="list-style-type: none"> • <i>Blu Giant, LLC</i> • <i>Gemini Alternative Funds, LLC</i> • <i>Gemini Hedge Fund Services, LLC</i> • <i>Gemini Fund Services, LLC</i> • <i>Northern Lights Compliance Services, LLC</i> • <i>The Ultimus Group, LLC</i> • <i>The Ultimus Group Intermediate, LLC</i> • <i>The Ultimus Group Midco, LLC</i> • <i>Ultimus Holdings, LLC</i> • <i>Ultimus Intermediary, LLC</i> • <i>Ultimus Fund Solutions, LLC</i> • <i>Ultimus Fund Distributors, LLC</i> • <i>Ultimus Asset Services, LLC</i> • <i>Ultimus Private Fund Solutions, LLC</i> • <i>Unified Financial Securities, LLC</i>
Nonaffiliates	<p>Companies not related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"> • <i>NLD does not share with nonaffiliates so they can market to you.</i>

Joint marketing

A formal agreement between nonaffiliated financial companies that together market financial products and services to you.

- *Our joint marketing partners include other financial service companies.*

Other important information

California: Under California law, we will not share information we collect about you with companies outside of NLD, unless the law allows. For example, we may share information with your consent, to service your accounts. We will limit sharing among our companies to the extent required by California law.

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