

**WHEELHOUSE SECURITIES CORPORATION  
PRIVACY POLICY STATEMENT**

August 2011

Wheelhouse Securities Corp., (“Wheelhouse”) an independent broker/dealer, respects the privacy of any nonpublic, personal information that clients provide in order for us to open and service their accounts. We are committed to safeguarding that information by holding it in the strictest confidence.

We gather only information that is necessary for us to effect, administer, or enforce a transaction that a client authorizes or requests. Such information may include health and financial information that has been gathered from account applications and other forms needed to service accounts.

To further protect client privacy, we have policies in place to restrict employee access to personal information. We may disclose personal information to other financial institutions for the sole purpose of effecting a transaction requested or authorized by a client, or to service a product or to provide a service that a client has requested or authorized.

If a client transfers an account, in the process of transferring the account investments Wheelhouse may share information with the new broker/dealer or custodian. If a representative servicing an account leaves Wheelhouse to join another firm, the representative may retain copies of the information so that he or she can assist with the transfer of accounts and continue to serve clients at his or her new firm. Wheelhouse does not disclose information to nonaffiliated companies that intend to market their products.

Opting out of third-party disclosures: If clients do not want to share information (other than as prescribed by law) with nonaffiliated third parties, including the registered representative servicing their account when he or she is no longer a Wheelhouse Representative, clients should contact the Wheelhouse Compliance Department at 314-881-1850.

At times, federal and state regulators may also review firm records as permitted by law. We do not provide nonpublic, personal information to mailing list vendors or solicitors under any circumstances. Any information gathered will be maintained during the client's tenure, and for the required time thereafter that records are required to be maintained by federal and state securities laws.

If you have questions about our privacy policy, please contact your Financial Consultant, or our Customer Service Department, at (314) 881-1850

A copy of this disclosure may also be found on our website at [www.wheelhousesecurities.com](http://www.wheelhousesecurities.com)

Thank you for your continued trust and confidence in Wheelhouse Securities Corporation.