

Important Information about Engaging our Company

Anti-Money Laundering Disclosure

The USA PATRIOT Act, implemented in October 2002, is designed to detect, deter, and punish terrorists in the United States and abroad. The Act imposes new anti-money laundering requirements on brokerage firms and financial institutions. Martin Wolf Securities, LLC, (dba ***martinwolf***) as required, has implemented a comprehensive anti-money laundering program. To help you understand these efforts, we want to provide you with some information about money laundering and our steps to implement the USA PATRIOT Act.

What is money laundering?

Money laundering is the process of disguising illegally obtained money so that the funds appear to come from legitimate sources or activities. Money laundering occurs in connection with a wide variety of crimes, including illegal arms sales, drug trafficking, robbery, fraud, racketeering, securities fraud and terrorism.

What are we required to do to eliminate money laundering?

Under the rules required by the USA PATRIOT Act, ***martinwolf*** has designated a chief anti-money laundering compliance officer, set up employee training, arranged for independent audits, and established policies and procedures to detect and report suspicious transactions and ensure compliance with the laws.

We thank you for your cooperation and hope that you will support us in our efforts to deny terrorists groups' access to America's financial system.

Privacy Statement

At ***martinwolf*** We Respect Your Privacy

This privacy notice is being sent on behalf of ***martinwolf*** and its registered representatives. We recognize our obligation to keep information about you secure and confidential. It's important for you to know that we do not sell your information to anyone. We restrict access to non-public personal information about you to those representatives and employees who need to know that information to provide products or services to you. We also maintain physical, electronic, and procedural safeguards to guard your non-public personal information. This notice describes how we handle your financial information that we collect while conducting our business.

We collect information about you and your company from our discussions with you, and from documents that you may deliver to us in the course of providing services to you. In order to provide services to you we may provide your information to companies that assist us in providing services to your company and have a need for such information, as permitted by law.

We may also disclose such information to FINRA or the Securities & Exchange Commission, the regulatory agencies that oversee our activities.

All of the information that ***martinwolf*** collects through its representatives who are also employed in other non-affiliated businesses will be available to them in those other non-affiliated business capacities. Representatives will not disclose the information if you notify us that you do not want the information used in any capacity other than the one in which you have dealt with the representative.

If you prefer that we not disclose non-public, personal information about you to non-affiliated third parties, (other than those disclosures permitted by law) or to ***martinwolf*** Representatives for use in their other non-affiliated businesses, you may opt out of those disclosures that is, you may direct us not to make those disclosures. If you wish to opt out of disclosures to non-affiliated third parties, you may write to the following address:

Martin Wolf Securities, LLC
7000 E Shea Blvd, Suite E130
Scottsdale, AZ 85254
Tel: 925.355.0110

***martinwolf* Business Continuity Planning**

martinwolf has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

Contacting Us – If after a significant business disruption you cannot contact us as you usually do you should call our alternative number 925.215.2750.

Our Business Continuity Plan – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm’s books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Varying Disruptions – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to

recover and resume business within a two-week time period. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business within a two-week time period. In either situation, we plan to continue in business, and notify you through how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to their funds and securities.

For more information – If you have questions about our business continuity planning, you can contact us at 925.355.0110.