

## Notice at Collection of Personal Information Job Applicants, Employees, and Temporary Assigned Workers

Wedbush Securities Inc. collects personal information from and about you at the time we hire you (or if you are employed by an agency, when you are assigned to work for us) and during the course of your employment/assignment. We want you to understand the categories of personal information we collect and what we do with that information. **We do not sell your personal information.** To learn more about our privacy practices, please visit [www.wedbush.com/privacy-policy/](http://www.wedbush.com/privacy-policy/).

Categories of Personal Information We Collect	Business or Commercial Purpose For Which The Information Will Be Used
Identifiers such as your name, mailing address, e-mail address, telephone number(s) and emergency contact number.	We use this information to identify you, to communicate with you, and to communicate with your emergency contact in the event of an emergency.
Identifiers such as your Social Security Number, Tax Identification Number, date of birth, driver's license number, passport number, tax status, and signature.	We use this information to comply with federal and state laws, to verify your eligibility to work in the United States, to process our payroll, to manage and support company-related travel arrangements, and to provide you with company-sponsored benefits.
Your bank account information.	We use this information to direct deposit funds to your bank account, if you so instruct.
Medical information and information regarding your marital status, dependents and beneficiaries.	We use this information to provide you with company-sponsored benefits.
Educational information, such as the educational institutions you have attended, your degrees and certifications.	We use this information to determine whether you have the qualifications and skills to perform the duties and functions of the job for which you are applying, to determine whether to offer you employment, and to determine the amount of your compensation. We may also use this information to promote and manage our business relationships, such as by publishing your profile and background on our website or in promotional materials.
Professional information, such as your employment history, professional licenses, certifications, references from your previous employer(s), whether you have ever been sanctioned by a professional or regulatory body, whether you are subject to any restrictive covenants, and information from your public social media accounts (such as LinkedIn).	We use this information to determine whether you have the qualifications and skills to perform the duties and functions of the job for which you are applying, to determine whether to offer you employment, and to determine the terms of your employment, including compensation and appropriate supervisory measures.

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Professional information, such as your employment history, professional licenses, and certifications.	We may use this information to promote and manage our business relationships, such as by publishing your professional information on our website and in our promotional materials.
Information reported to us as a result of a consumer report or investigative consumer report that you authorize.	We use this information to help us determine whether to entrust you with confidential information and to determine whether to offer you employment.
Biometric information, such as fingerprints.	For persons who hold certain roles, we collect this information and provide it to securities regulators. Where permitted by federal, state and local law, we use this information to conduct a criminal background screening on you. We use the results of this screening as part of our process to determine whether to offer you a job.
Visual information, such as photographic images and closed circuit television obtained from security cameras in certain locations in our offices and surrounding areas.	We use this information to maintain the security of our premises, to detect illegal activity, and to prosecute those responsible for that activity.
Visual information, such as your photograph.	We use this information to publish in our marketing materials, for the purpose of promoting our business. We also use this information to create an identification card for you, to promote the safety and security of our premises, equipment and personnel, to detect fraud or illegal activity, and to prosecute those responsible for that activity.
Information regarding your electronic network activity using our equipment, such as internet browsing history, usage and e-mail content.	We use this information to monitor employee activities, to maintain the security of our systems, and to detect improper activity.
Commercial information in connection with business-related expenses that you submit to us for reimbursement, such as your credit card number, travel documents, and receipts.	We use this information to evaluate your expense report and to reimburse you for appropriate and authorized business-related expenses.
Commercial information in connection with your securities transactions in your personal accounts.	We use this information to monitor your transactions for supervisory purposes and to detect illegal or improper activity.
If you are a registered representative in the securities industry: <ul style="list-style-type: none"> <li>• Uniform Application for Securities Industry Registration or Transfer (Form U4) and the information contained therein;</li> </ul>	We use this information to determine whether to offer you employment and to determine the terms of your employment, including compensation,

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<ul style="list-style-type: none"> <li>• Uniform Termination Notice for Securities Individuals (Form U5) and the information contained therein;</li> <li>• Records from the Central Registration Depository (CRD) and FINRA's "Broker Check";</li> <li>• Information collected by FINRA as part of its background check into you and your Form U4, including customer complaints made against you and the outcome;</li> <li>• Information that you provide to us as required by the securities industry (e.g., customer complaints, updated disclosures on your Form U4, outside business affiliations, personal brokerage account statements);</li> <li>• Information from federal and state licensing organizations regarding your professional licenses and accreditations.</li> </ul>	appropriate supervision, and other terms of your employment with us.
Voluntary identification of your race/ethnicity, gender, age, disability status and veteran status (you have the option to choose not to self-identify).	We use this information to comply with government reporting requirements, and to respond to diversity questionnaires from the government and our clients.
Additional information as described in our Employee Manual.	We use this information to maintain the security and safety of our employees and property, to protect the confidentiality of our and our clients' information, to detect illegal activity, and to prosecute those responsible for that activity.
Medical and Health Information (e.g., your body temperature, COVID-19 diagnosis, COVID-19 related testing results, whether you have or display certain symptoms such as fatigue, cough, sneezing, aches and pains, runny or stuffy nose, sore throat, diarrhea, headaches, sudden loss of smell or taste, or shortness of breath, whether you have been in close with anyone who has exhibited any of these symptoms, whether you have been in close contact in the last 14 days with anyone who has tested positive for COVID-19, any COVID-19-related doctor's notes for absences or work restrictions, medical leave of absence records, requests for accommodation, interactive process records, and correspondence with you and your healthcare provider(s) regarding any request for accommodation or medical leave of absence related to COVID-19, COVID 19 vaccination-related information.)	We use this information to maintain a safe work environment and to evaluate the risk that an employee's presence may pose to others in the workplace as a result of the COVID-19 pandemic.
Travel Information (e.g., whether you have recently traveled to a restricted area that is under a Travel Advisory, locations traveled to within the 14 days prior to coming to the workplace and the dates spent in those locations).	We use this information to maintain a safe work environment and to evaluate the risk that an employee's presence may pose to others in the workplace as a result of the COVID-19 pandemic.