



Notice at Collection of Personal Information Employees, Prospective Employees and Independent Contractors

Wedbush Securities Inc.; Wedbush Securities Advanced Clearing Services; Wedbush Futures; and Wedbush & Co., LLC. collect personal information from and about you when you apply for employment, at the time we hire you and during the time you work with us. We want you to understand the categories of personal information we collect. To learn more about our Information Practices, please visit <https://www.wedbush.com/privacy-policy/>.

Categories of Personal Information We Collect	Purpose For Which The Information Will Be Used	Length of Time We Retain the Information
Identifiers, such as your name, address, Internet Protocol (IP) address, device identifier, e-mail address, account name, telephone number(s), signature and sensitive personal information such as social security number, driver's license number, and passport number.	<ul style="list-style-type: none"> To identify you, communicate with you, process our payroll, and provide you with company-sponsored benefits. To comply with legal requirements. 	As required by law. Typically a minimum of five years after employment decision or termination of employment, whichever is longer.
Commercial information, such as financial account numbers and transaction information, including account statements for securities brokerage accounts.	<ul style="list-style-type: none"> To comply with legal requirements. 	As required by law. Typically a minimum of six years after termination of employment.
Health and medical information, including voluntary disclosure of whether you have tested positive for COVID-19.	<ul style="list-style-type: none"> To provide you with benefits and process claims. To review and consider accommodation requests for non-standard work arrangements. 	As required by law. Typically a minimum of six years.
Educational information, such as the schools you have attended and your degrees.	<ul style="list-style-type: none"> To determine your qualifications and make employment decisions. 	As required by law. Typically a minimum of five years after termination of employment.

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Professional information, such as your employment history, professional licenses, certifications, and references.	<ul style="list-style-type: none"> To determine your qualifications and make employment decisions. 	As required by law. Typically a minimum of five years after termination of employment.
Information reported to us as a result of a consumer report or background check that you authorize.	<ul style="list-style-type: none"> To make employment decisions and to determine whether to entrust you with confidential information. 	As required by law. Typically a minimum of five years after termination of employment.
Visual information, such as images from security cameras in certain locations in and around our offices.	<ul style="list-style-type: none"> To maintain the security of our premises, personnel, equipment and information. 	We retain visual information from our secure IT rooms for 60 days. We retain visual information regarding the entry / exit of our building in Chicago for as long as business needs require.
Visual information, such as your photograph.	<ul style="list-style-type: none"> To promote our business. To promote the security of our premises and information. To comply with legal requirements. 	Identification badge photos are retained for a minimum of three years after termination of employment. We retain photographs of group events for an unlimited period of time.
Information regarding your electronic network activity using our equipment, such as internet browsing history, usage and e-mail content.	<ul style="list-style-type: none"> To monitor employee activities, to maintain the security of our systems, and to detect improper activity. 	As required by law. Typically a minimum of six years; longer in archived and back up storage.
Commercial information regarding expenses you submit for reimbursement.	<ul style="list-style-type: none"> To evaluate your expense report and to reimburse you for authorized expenses. 	Typically a minimum of five years after termination of employment.
<p>If you are a registered representative</p> <ul style="list-style-type: none"> Uniform Application for Securities Industry Registration or Transfer (Form U4); Uniform Termination Notice for Securities Individuals (Form U5); 	<ul style="list-style-type: none"> To comply with legal requirements. To make employment decisions and supervise our registered representative employees. 	As required by law. Typically a minimum of three years after termination of employment.

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<ul style="list-style-type: none"> • Central Registration Depository (CRD) records; • Information collected by FINRA as part of its background check, including a description of physical characteristics, customer complaints and outcome; • Information that you provide to us as required by the securities industry; • Information from federal and state licensing organizations. 		
<p>Voluntary identification of sensitive information such as your race/ethnicity, gender, age, disability status and veteran status (you have the option to choose not to self-identify).</p>	<ul style="list-style-type: none"> • To comply with government reporting requirements. 	<p>As required by law. Typically a minimum of three years after the termination of employment, although some records may be kept longer as required.</p> <p>To participate in diversity-related initiatives or surveys regarding the diversity of our work force.</p>

Information We Sell or Share

If you visit our public websites, we share your IP address, the URL you came from, and your interaction with the website with our analytics providers, third-party advertising networks, and social media platforms for their use in cross-context behavioral advertising across multiple websites. Except for this limited sharing, we do not sell or share any of your personal information with third parties.

California residents have the right to opt-out of the selling or sharing of personal information. You can opt-out by sending us an opt-out preference signal through the privacy controls available on your web browser. If you opt-out, you will still see ads but they will not be personalized based on your online activity. Our Notice of Right to Opt-Out of Sale or Sharing is available [here](#).