



EMPLOYEE, PROSPECTIVE EMPLOYEE, AND INDEPENDENT CONTRACTOR PRIVACY POLICY

EMPLOYEES, PROSPECTIVE EMPLOYEES AND INDEPENDENT CONTRACTORS

In this Employee, Prospective Employee, and Independent Contractor Privacy Policy, “Wedbush,” “we,” “us,” and “our” refers to Wedbush Securities Inc.; Wedbush Securities Advanced Clearing Services; Wedbush Futures; and Wedbush & Co., LLC. This Employee, Prospective Employee, and Independent Contractor Privacy Policy describes our Information Practices, the rights you may have with respect to the personal information we collect from and about you when you apply for a position with us and during the time you work with us, and how you can exercise those rights.

Personal Information We Have Collected in the Last 12 Months.

The following table lists the categories of Personal Information (“PI”) (as defined by California Civil Code section 1798.140(v)) that we may have collected about you in the last 12 months, the categories of sources from which we have collected it, and how we will use the information.

Categories of PI collected	Categories of sources from which we collect PI	Business or commercial purpose for collecting PI
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">• You• Our supervisory personnel	<ul style="list-style-type: none">• To identify you, communicate with you, process our payroll, and provide you with compensation and company-sponsored benefits.• To pay for products or services that we obtain from you.• To comply with legal requirements.• To promote our business.
Commercial information, such as financial account numbers and transaction information, including account statements for securities brokerage accounts.	<ul style="list-style-type: none">• You	<ul style="list-style-type: none">• To comply with legal requirements.

Categories of PI collected	Categories of sources from which we collect PI	Business or commercial purpose for collecting PI
Health and medical information, including voluntary disclosure of whether you have tested positive for COVID-19.	<ul style="list-style-type: none"> • You 	<ul style="list-style-type: none"> • To provide you with sponsored benefits and process claims. • To review and consider accommodation requests for non-standard work arrangements.
Educational information, such as the schools you have attended and your degrees.	<ul style="list-style-type: none"> • You • Payroll records 	<ul style="list-style-type: none"> • As required by law. Typically a minimum of five years after termination of employment.
Professional information, such as your employment history, professional licenses, certifications, and references.	<ul style="list-style-type: none"> • You • Our supervisory personnel • Securities regulators and self-regulatory organizations (SROs) • Public records 	<ul style="list-style-type: none"> • To determine your qualifications and make employment decisions.
Information reported to us as a result of a consumer report or background check that you authorize.	<ul style="list-style-type: none"> • You • Background check providers 	<ul style="list-style-type: none"> • To determine whether to entrust you with confidential information and whether to offer you employment.
Visual information, such as images from security cameras in certain locations in and around our offices.	<ul style="list-style-type: none"> • You 	<ul style="list-style-type: none"> • To maintain the security of our premises, personnel, equipment and information.
Visual information, such as your photograph.	<ul style="list-style-type: none"> • You 	<ul style="list-style-type: none"> • To promote our business. • To promote the security of our premises and information. • To comply with legal requirements.
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"> • You 	<ul style="list-style-type: none"> • As required by law. Typically a minimum of six years; longer in archived and back up storage.
Commercial information in connection with transactions in your personal securities or commodities accounts.	<ul style="list-style-type: none"> • You 	<ul style="list-style-type: none"> • To monitor your transactions for supervisory purposes and to detect illegal or improper activity.
If you are a registered representative:	<ul style="list-style-type: none"> • You • Securities regulators and SROs 	<ul style="list-style-type: none"> • To comply with legal requirements.

Categories of PI collected	Categories of sources from which we collect PI	Business or commercial purpose for collecting PI
<ul style="list-style-type: none"> • Uniform Application for Securities Industry Registration or Transfer (Form U4); • Uniform Termination Notice for Securities Individuals (Form U5); • Records from the Central Registration Depository (CRD); • 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. 	<ul style="list-style-type: none"> • Other federal and state licensing organizations 	<ul style="list-style-type: none"> • To make employment decisions and supervise our registered representative employees.
<p>Voluntary identification of 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"> • You 	<ul style="list-style-type: none"> • To comply with government reporting requirements. • To participate in diversity-related initiatives or surveys regarding the diversity of our work force.

Categories of Information We Have Sold or Shared in the Last 12 Months.

We do not sell, share or disclose to third parties any PI we collect from employees, prospective employees or independent contractors.

If you have visited our public websites, we have shared your IP address, the URL you came from, and your interaction with the websites with analytics providers, third-party advertising networks, and social media platforms for their use in cross-context behavioral advertising across multiple websites. 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.

Consumers Under the Age of 16.

We are required to state whether we have actual knowledge that we sell or share PI of minors under 16 years of age. We do not have actual knowledge that we sell or share PI of minors under 16 years of age.

Sensitive Personal Information.

We use and disclose sensitive PI only as permitted by law.

Your Privacy Rights.

The right to know. You have the right to know what PI we have collected about you, including the categories of PI, the categories of sources from which the PI was collected, the business or commercial purpose for collecting, selling or sharing PI, the categories of third parties to whom we disclose PI, and the specific pieces of PI we have collected about you.

The right to delete. You have the right to delete certain PI that we have collected from you, subject to certain exceptions.

The right to correct. You have the right to correct inaccurate PI that we maintain about you.

The right to opt-out. You have the right to opt-out of the sale or sharing of your California Personal Information. You can visit our Notice of Right to Opt-Out of Sale or Sharing [here](#).

The right to limit use of sensitive personal information. If a business uses or discloses sensitive PI for reasons other than those permitted by law, you have the right to limit the use and disclosure of that information. We use or disclose sensitive PI only as permitted by law.

The right not to receive discriminatory treatment. You have the right not to receive discriminatory treatment by us for the exercise of your privacy rights, including the right not to be retaliated against for the exercise of your privacy rights.

How You Can Exercise Your Rights.

To submit a request to know, delete, or correct your PI, call us (toll-free) at (800) 834-2153 or contact us by e-mail at privacy@wedbush.com.

We will confirm receipt of your request. We will acknowledge receipt of your request within 10 business days.

We will verify your identity. We will match pieces of personal information provided by you with personal information maintained by us that we have determined are reliable. We may also require that you submit a signed declaration under penalty of perjury stating that you are the individual whose personal information is the subject of the request. Our verification process will vary depending on the nature of your request and the sensitivity of the information.

We will respond. We will respond to your request no later than 45 calendar days after we receive the request. If we cannot respond to your request within that time, we may notify you that we may take up to an additional 45 calendar days to respond, and we will explain why we need additional time.

You may designate an authorized agent to submit a request on your behalf. You may authorize another person to submit a request to know, delete or correct your personal information. To have another person submit a request on your behalf, call us (toll-free) at (800) 834-2153 or contact us by e-mail at privacy@wedbush.com and tell us that you would like to authorize another person to submit a consumer privacy request on your behalf. You will need to provide us with written permission authorizing the other person

to submit a request to know, delete or correct on your behalf. We will give you instructions on how to send the written authorization to us. We will still verify your identity and will verify that you have given your authority to the other person.

How We Process Opt-Out Preference Signals.

An opt-out preference signal or global privacy control is a signal that is sent by a platform or browser that clearly communicates your choice to opt-out of the sale and sharing of personal information.

Employee-facing intranet: Our employee-facing intranet does not collect information from you that we sell or share with third parties. Therefore, we do not process opt-out preference signals or global privacy controls detected from browsers visiting our employee-facing intranet.

Public-facing websites: Our public-facing websites collect and share certain information from you, as described in this Privacy Policy and in our Notice at Collection. You can opt out of this sharing by implementing an opt-out preference signal on your browser, or by downloading a browser extension that can be enabled to support your single opt-out preference signal. We process opt-out preference signals in a frictionless manner. Your opt-out signal will apply to your device's browser. To learn more about how to implement opt-out preference signals and global privacy controls, please consult your browser's privacy settings or visit [Global Privacy Control](#).

Contact for More Information.

If you have questions or concerns about our privacy policies and practices, you may call us (toll-free) at (800) 834-2153 or contact us by email at privacy@wedbush.com.

Date Updated.

February 2023