



Vorpahl Wing Securities Inc.

## Important Information

Vorpahl Wing Securities, Inc. (“Us”, “We,” “Our”), a Securities and Exchange Commission (“SEC”) Registered Investment broker-dealer, member of the Financial Industry Regulatory Authority (“FINRA”), The Municipal Securities Rulemaking Board (“MSRB”), the Securities Investor Protection Corporation (“SIPC”), and Registered Investment Adviser with the State of Washington and Idaho wants to provide you with important information that will assist you in understanding how we conduct our business and keep you informed regarding our practices.

### Privacy Policy

#### **Your privacy is our priority.**

We collect personal information to open your accounts, to manage your portfolios and to help us provide a better level of service. We protect the security and confidentiality of the personal information that we collect. We may amend our Privacy Policy from time to time to accommodate changes in our services, technology or as a result of a legal development. Each time you submit personal information or use our services, you agree to be bound by the current terms of our Privacy Policy.

Our relationship with you is our most important asset. We understand that you have entrusted us with your private information and we will do everything we can to maintain that trust. The following are details of our approach to privacy.

1. **We do not sell your personal information to anyone.**
2. **We only share personal information with third parties and affiliate companies that assist us in processing transactions or servicing your account (for example executing your trades, acting as your custodian, or mailing your account statements).**

We may also disclose or report personal information in limited circumstances where we believe in good faith that disclosure is required by law (for example, to cooperate with regulators or law enforcement authorities, resolve client disputes, perform credit/authentication checks, or for risk control).

We may use third party providers of information technology and data processing services that may store and/or process your personal information. Your personal information may be disclosed in response to valid demands or requests from government agencies under applicable law in those jurisdictions.

Outside of these exceptions, we will not share your personal information with third parties unless you have specifically asked us to do so.

3. **We collect personal information in the normal course of business in order to administer your accounts and serve you better.**

Application and registration information: We collect information that you provide to us when you open an account make application to or through us for the purchase of a securities product or service.

The information we collect may include name, address, phone number, e-mail address, Social Security number, financial information and information about your investment objectives and experience. We may also collect information from consumer reporting agencies to verify your identity in the account opening -process.

Transaction information: Once you have an account with us, to administer your account and better serve you we collect and maintain personal information about your transactions, including balances, positions and history, and may include your name or other data in an internal client list that reflects your activities with us and with outside contracted providers.

**4. We use your personal information to fulfill our regulatory obligations and to help us deliver the best possible service to you.**

We are required by its various regulatory authorities such as the SEC and state jurisdictions to collect, review and maintain certain personal information such as investment history or financial data. Also, the USA PATRIOT Act requires that we collect and verify certain personal information to assist it in verifying the identity of its clients and the sources of funds in an effort to prevent money laundering and terrorism.

**5. We protect the confidentiality and security of your personal information.**

Companies with whom we contract to provide support services are prohibited from using your personal information for their own purposes and are contractually obligated to maintain strict confidentiality. We limit their use of your personal information to the performance of the specific service we have requested. We restrict access to personal information to select employees and agents who have a need to know such information for business purposes only. All such employees receive training and are required to safeguard such information. We also maintain physical, electronic and procedural safeguards to guard your personal information.

**6. We continue to evaluate our efforts to protect personal information and make every effort to keep your personal information accurate and up to date.**

If you identify any inaccuracy in your personal information, or you wish to make a change to that information, please contact us so that we may promptly update our records.

**7. We will provide notice of changes in our information-sharing practices.**

If, at any time in the future, it is necessary to disclose any of your personal information in a manner that is inconsistent with this policy, we will give you advance notice of the proposed change so that you have an opportunity to opt out of such disclosure.

**Trade Executions and Custodial Practices**

Vorpahl Wing Securities, Inc. clears its brokerage transactions through Wedbush Securities, Inc. (“Wedbush”). Wedbush shall provide you with confirmations of transaction and brokerage statements on our behalf.

Transaction in our managed, advisory accounts are also cleared through Wedbush and Wedbush acts as our custodian of your assets. Wedbush will provide you with transaction confirmations and quarterly statements on our behalf.

**Proxy Voting**

We do not vote proxies. Each client shall receive proxies from the custodian and shall vote them as they, themselves, determine.

**Important Information You Need to Know About Opening an Investment Account**

To assist in the fight against the funding of terrorism and money laundering activities, U.S. federal law requires financial institutions to obtain, verify, and record information that identifies each person who opens an account.

When you open an account, we are required to collect information from you such as: name, date of birth, address, and identification number:

- U.S. Citizen: taxpayer identification number (social security number or employer identification number) and government issued photo id.
- Non-US Citizen: taxpayer identification number, passport number and country of issuance, alien identification card number, or government issued identification showing nationality, residence, and a photograph of you.

A corporation, partnership, trust or other legal entity will need to provide formation documents which includes its principle place of business, employer identification number, certified articles of incorporation, government-issued business license, a partnership

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agreement, or a trust agreement.

U.S. Department of the Treasury and SEC rules already require you to provide most of this information. These rules also may require you to provide additional information, such as your net worth, annual income, occupation, employment information, investment experience and objectives, and risk tolerance.

If you cannot provide the required information, we may not be able to open an account or carry out transactions for you. If we have already opened an account for you, we may have to close it.

We thank you for your assistance with these requirements, and hope that you will support the financial industry's efforts to deny terrorists and money launderers access to the financial system.

### **Business Continuity Summary and Disclosure Statement**

Pursuant to SEC and State regulation, we have created a Business Continuity Plan. This plan is for use in the event that we become the subject of a significant business interruption, ranging from an interruption effecting simply our office location, or a larger area such as Greater Spokane or the Inland Empire. Our recovery time for such an event will vary depending upon the severity and significance of the event.

Due to our executing relationship with Wedbush as a qualified broker dealer and custodian we can continue to operate from multiple locations. However, we have identified a primary, specific, off site location where our operations will move should there be a significant business interruption.

For telephone communications, we will attempt to maintain our client's ability to contact us at 1-(509)-747-1749 and (888) 782-4149 if at all possible.

Regardless of all the effort put forth on this vital concern, we acknowledge that no disaster recovery plan is perfect. The unpredictable nature of disasters precludes absolute preparedness for any plan. Certain situations may arise that affect outside entities upon which we rely for some service or collaboration. It is possible for circumstances to occur outside of what has been defined within the Plan.

The plan is subject to modification, without notice. Customers may obtain updated summaries by requesting a written copy by mail at Vorpahl Wing Securities, Inc. – 421 W. Riverside, Ste. 1020, Spokane, WA 99201. Should you have any questions regarding this summary, please call 1-(509)-747-1749 or (888)- 782-4149.

### **Our Brochure**

The current Vorpahl Wing Securities, Inc. Investment Advisory Brochures (ADV Part 2A, 2B, and 3) are available to all clients upon request. The current Brochure contains material changes from the previous Brochure.

### **Aggregation of Accounts**

We endeavor to allocate securities purchases and sales so as to not advantage nor disadvantage any client. It is our policy that when securities are being initially purchased for, or sold from, a client's portfolio, orders for the same securities from us and our associated persons' accounts will be included in the aggregated transaction if the size and volume is large and the market is liquid, and purchased last and sold last if the market is thin and illiquid so as to not disadvantage clients.

### **Compliments or Complaints?**

Compliments or complaints may be directed to Tim Vorpahl at (509)-747-1749 or (888) 782-4149 or at 421 W. Riverside, Ste. 1020, Spokane, WA 99201.

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