

S. Goldman Advisors, LLC

Privacy Policy

The following is a description of S. Goldman Advisors's policy on handling a customer's personal information and the steps that the Firm takes to protect customer privacy.

Company Information

S. Goldman Advisors is a general securities broker dealer that is a member of FINRA and SIPC. The Firm clears through Interactive Brokers LLC.

Treatment of Customer Information

Access to customer information is authorized for internal business purposes only. Authorization is given to the various internal departments of the Firm to service transactions and accounts as needed and to improve upon existing services and products offered by the Firm. In addition, it is used to provide future services and products to our customers. The Firm requires for all of its employees who are allowed access to customer information to protect such information and keep it confidential.

Collection of Information

The Firm collects information during the account opening process and the time period during which the account is opened to serve the client's financial needs, to provide customer service, to offer new products and/or services, and to fulfill legal and regulatory requirements.

Security Standards

The Firm continues to assess new technology to evaluate its ability to provide additional protection for your personal information. We safeguard this information in accordance with federal standards and established security standards and procedures. Measures we take in this regard include implementation of physical, electronic and procedural safeguards.

Sharing Information

The Firm does not sell, license, lease or otherwise disclose the information to any third parties for marketing purposes. However, we may engage a third party to help us carry out certain internal functions for the processing of your trades, the general maintenance and servicing of account(s) and for the fulfillment of regulatory requirements. Use of the information shared to any third party is strictly limited to the performance of the task we request and for no other purpose.

All third parties with whom we share personal information are required to protect personal information in a similar manner to the way we protect personal information.

The Firm may also share your information with an affiliate to provide a more comprehensive range of services and products that may be of interest to our customers. An affiliate is a company that we own or control or with which there is common ownership. Customers may elect to opt out of being included on such a list shared with our affiliates by informing the registered representative who services the account.

The Firm also reserves the right to disclose a customer's personal information where required by law to regulatory, law enforcement or other government authorities. We may also disclose your information as necessary to credit reporting or collection agencies, or when necessary to protect our rights or property.