

**BROKER DEALER FINANCIAL SERVICES CORP.**  
**March 2017**

FINRA (Financial Industry Regulatory Authority, Inc.) has established **FINRA BrokerCheck** to provide certain information regarding the disciplinary history of FINRA members and their associated persons. An investor brochure that includes information describing the **BrokerCheck** system may be obtained from the Financial Industry Regulatory Authority, Inc.

**FINRA BrokerCheck Hotline is 1-800-289-9999.**

**The FINRA Website address is [www.finra.org](http://www.finra.org).**

**PRIVACY NOTICE**

At Broker Dealer Financial Services Corp., protecting the privacy of customer information is one of our most fundamental responsibilities. For securities accounts we mirror the policy of Wells Fargo Clearing Services, LLC, our clearing agent. This Notice summarizes our policy regarding the confidentiality and disclosure of customer information. We do not sell Nonpublic, Personal Information to anyone and only share such information as stated in this Notice.

**CONFIDENTIALITY AND SECURITY PROCEDURES**

We take steps to safeguard customer information. We restrict access to your personal and account information to only those employees who need to know that information to provide products or services to you. We emphasize the importance of confidentiality through employee training, operating procedures, and our privacy policy. We also maintain physical, electronic, and procedural safeguards that comply with federal standards to guard your Nonpublic Personal Information. For example, we employ encryption and multi-layer password protected applications through our clearing agents.

**THE INFORMATION WE COLLECT**

We may collect Nonpublic Personal Information about you from the following sources:  
Your account opening documentation, applications or other forms, which include name, address, phone number, social security number, and date of birth,  
your transactions with us, our affiliates and others;  
information from non-affiliated third parties, such as your credit history; and  
information for special services offered by our clearing agent, such as bill payment requests.

**THE INFORMATION WE DISCLOSE**

We may disclose your Nonpublic Personal Information, as described above, to an Affiliated Third Party, including investment advisors, and banks. We also may disclose the above information to Non-affiliated Third Parties to assist us in servicing your account with us, such as our clearing agent(s); to securities regulators upon request; to others pursuant to a subpoena; or as otherwise permitted by law.

Even if you decide to close your account(s) or your account becomes inactive, we will continue to adhere to the privacy policies and practices.

**You may opt-out of this policy by sending a request to the BDFS Compliance Department in West Des Moines, IA.**

**KEY TERMS**

- Nonpublic Personal Information is personally identifiable financial information that a customer provides to a financial institution; results from a transaction with the customer; or is otherwise obtained by the financial institution. For example, nonpublic personal information includes information regarding your account value and investment history.
- An Affiliated Third Party is any division or affiliate by common ownership, or affiliated by corporate control or common corporate control, with another company (e.g.; BDF Investments, IBA Securities and Investment Advisors Corp.)
- A Non-Affiliated Third Party is an entity that is not part of our corporate family.

# **BROKER DEALER FINANCIAL SERVICES CORP.**

## **Business Continuity Plan (BCP) Summary**

March 2017

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### **Emergency Contact Persons**

Our firm's two emergency contact persons are: Lisa Smith, President & CEO, 515-727-6764 or [lsmith@bdfs.com](mailto:lsmith@bdfs.com) and Barbara Bennett, CCO, 515-727-6777 or [bbennett@bdfs.com](mailto:bbennett@bdfs.com). These names will be updated in the event of a material change and our Executive Representative will review them within 17 business days of the end of each quarter. The plan is subject to modification and updated versions will be posted to the firm website, [www.bdfs.com](http://www.bdfs.com) or customers may alternately request a written copy of the plan by mail.

### **Firm Policy**

Our firm's policy is to respond to a Significant Business Disruption (SBD) by safeguarding employees' lives and firm property, making a financial and operational assessment, quickly recovering and resuming operations, protecting all of the firm's books and records, and allowing our customers to transact business. In the event that we determine we are unable to continue our business, we will assure customers prompt access to their funds and securities. This policy will be distributed to all employees, posted on the firm's website and delivered to customers at account opening and mailed to customers upon request.

Our plan anticipates two kinds of SBD's, internal and external. Internal SBD's affect only our main West Des Moines office's ability to communicate and do business, such as a fire in our building. External SBD's prevent the operation of the securities markets or a number of firms, such as a terrorist attack, a tornado, or a wide-scale, regional disruption. Our response to an external SBD relies more heavily on other organizations and systems, especially on the capabilities of our clearing firm. The firm's intent is to stay in business and in light of either an internal or external SBD which the firm expected to last longer than eight (8) hours, would as promptly as possible under the circumstances, relocate key employees to an alternative work site to continue business functions. If it is determined that the firm cannot recover and stay in business, customers are directed to Wells Fargo Clearing Services, LLC for access to their funds and securities:

Wells Fargo Clearing Services, LLC  
One North Jefferson Avenue  
St. Louis, MO 63103  
Customer Service (877) 496-3223

For customer assets held outside of Wells Fargo Clearing Services, LLC such as direct mutual funds and insurance policies please refer to you individual statements for their direct contact information.

BDFS, Wells Fargo Clearing Services, LLC have back up facilities off-site which are tested and secure. In the event the locations are activated, the firm will communicate to our clients via a phone message on the firm's answering machine, email, fax, and/or post a notice on the firm website [www.bdfs.com](http://www.bdfs.com), whatever means available, of the change and remind customers of their access capabilities. The firm has also made contingent back up plans for power, phone, internet and banking services to avoid any unnecessary delays in evoking the plan.

### **USA PATRIOT'S ACT**

#### **Important information about procedures to open a new account**

To help the government fight terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account.

What this means to you: When you open an account, we will ask for your name, address, date of birth, and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents. Further, every three years, we will request you review your stated income sources, liabilities and investment objectives with your representative to ensure they have an accurate financial picture to assist you in meeting your financial goals.

#### **MEMBER SECURITIES INVESTOR PROTECTION CORPORATION**

Clients may obtain information about SIPC, including an explanatory brochure about SIPC by contacting SIPC at (202) 371-8300 or visit their website: [www.sipc.org](http://www.sipc.org).