

FACTS

WHAT DOES THE WELLINGTON GROUP DO WITH YOUR PERSONAL INFORMATION?

Why?	Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.	
What?	The type of personal information we collect, and share depends on the product or service you have with us. This information can include:	
	■ Social Security number and income ■ Account balances and investment transactions ■ Tax information and business information	
How?	All financial companies need to share customers’ personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers’ personal information; the reasons The Wellington Group chooses to share; and whether you can limit this sharing.	
Reasons we can share your personal information		
Does The Wellington Group share?		
Can you limit this sharing?		
For our everyday business purposes - such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
For our marketing purposes - to offer our products and services to you	Yes	No
For joint marketing with other financial companies	No	We don’t share
For our affiliates’ everyday business purposes – investment transaction information	Yes	No
For our affiliates’ everyday business purposes – information about your financial situation and goals	Yes	No
For our affiliates to market to you	Yes	Yes
For nonaffiliates to market to you	No	We don’t share
To limit our sharing	■ Call (317) 846-5055 ■ Email us at: thewellingtongroupllc.com. If you are a <i>new</i> customer, we can begin sharing your information 30 days from the date we sent this notice. When you are <i>no longer</i> our customer, we continue to share your information as described in this notice. However, you can contact us at any time to limit our sharing.	
	Questions?	Call (317) 846-5055 or visit: thewellingtongroupllc.com .

Who we are	
Who is providing this notice?	The Wellington Group
What we do	
How does The Wellington Group protect my personal information?	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings. We also use industry standard security measures that include strong passwords as well as restrictive permission settings and access.
How does The Wellington Group collect my personal information?	We collect your personal information, for example, when you: ■ open an account or transfer funds ■ provide us with your account information ■ work with our financial professionals in their capacity as a registered representative of a broker/dealer, or in their capacity as an insurance agent of a non-affiliated insurance carrier, to facilitate sales or service
Why can't I limit all sharing?	Federal law gives you the right to limit only: ■ sharing for affiliates' everyday business purposes—information about your creditworthiness ■ affiliates from using your information to market to you ■ sharing for nonaffiliates to market to you State laws and individual companies may give you additional rights to limit sharing.
What happens when I limit sharing for an account held jointly with someone else?	Your choices will apply to everyone on your account—unless you tell us otherwise.
Definitions	
Affiliates	Companies related by common ownership or control. They can be financial and nonfinancial companies. ■ The Wellington Group does not have any affiliates currently.
Nonaffiliates	Companies not related by common ownership or control. They can be financial and nonfinancial companies. ■ The Wellington Group does not share with nonaffiliates so they can market to you.
Joint marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. ■ The Wellington Group does not jointly market.
Other important information	
We may share your information with law enforcement or other government agencies as required by law or for the purposes of limiting fraud. We reserve the right to disclose your personally identifiable information when we believe that disclosure is necessary to protect our rights or to comply with a judicial proceeding, court order, legal process, government request, or to comply with any applicable law or regulation, foreign or domestic.	