

# Regulatory Disclosures

**Ace Diversified Capital, Inc.**

## USA Patriot Act

To help the government fight the funding of 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 for 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.

## Securities Investor Protection Corporation (SIPC)

Customers may obtain information about the Securities Investor Protection Corporation ("SIPC"), including the SIPC Brochure, by contacting SIPC at 1667 K St. N.W. Suite 1000, Washington, D.C. 20006, via its web site at <https://www.sipc.org/>, by telephone at (202) 371-8300 or email at [asksipc@sipc.org](mailto:asksipc@sipc.org).

## Business Continuity Plan (FINRA Rule 4370)

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. We have plans designed to allow us to continue operations of critical business functions, such as entering of client orders, completing securities transactions, and providing clients access to their cash and securities in the event of a business disruption. The BCP is intended to comply with obligations pursuant to regulatory rules and requirements as set forth by the Financial Industry Regulatory Authority ("FINRA") and can be mailed to you upon request.

In the event of a disruption, you will be able to receive information about your accounts and instructions on how to gain access to your funds by calling the firm at (626) 307-8300 or visiting our website at <https://www.acediversifiedcapital.com>. You may also contact our clearing firm, Wedbush Securities with the number listed on your account statement, by calling (213) 688-8000 or visiting [www.wedbush.com](http://www.wedbush.com).

## Privacy Policy

Ace Diversified understands your Privacy is important and has always been committed to maintaining your confidentiality. We collect information about you to help us serve your financial needs, provide customer service, offer new products or services, and fulfill legal regulatory requirements. Ace Diversified does not share non-public personal information about you with unaffiliated third parties with whom it has no contractual business relationship for their independent use unless (a) you give us permission, (b) it is necessary to complete a transaction on your behalf, (c) it is necessary to protect against fraud, comply with a subpoena or other court order or is otherwise required or permitted by law. Ace Diversified restricts access to your personal and account information to those employees who need to know that information to provide products or services to you and maintains strict physical, electronic, and procedural safeguards to guard your non-public personal information.

## Securities and Exchange Commission Rule 605/606/607

Securities and Exchange Commission rules mandate the public disclosure of order routing practices (the "Disclosure Rules"). Rule 605 (formerly SEC Rule 11Ac1-5) requires "market centers" that trade National Market System securities to make available standardized, monthly reports containing statistical information about "covered order" executions. Rule 606 (formerly SEC Rule 11Ac1-6) requires that broker-dealers that route customer orders in equity and option securities make publicly available quarterly reports that identify the venues to which customer orders are routed for execution.

The retail brokerage business of Ace Diversified clears trading through Wedbush Securities, of which order routing information is made publicly available.

Download Wedbush Securities' NMS Rule 606 Reports after October 1, 2020, by [clicking here](#) or visiting <https://public.s3.com/rule606/wedb/>  
(By clicking this link, you will be leaving the Ace Diversified Capital, Inc.'s website)

Ace Diversified has no payment for order flow relationships with any broker dealers or third-party execution providers. However, our clearing firm, Wedbush Securities may receive compensation or other consideration ("payment for order flow") for directing such orders to particular broker-dealers or market centers for execution.

## FINRA BrokerCheck Hotline

FINRA has established the public disclosure program, known as BrokerCheck, to provide certain information regarding the disciplinary history of FINRA members and their associated persons. The BrokerCheck Hotline Number is 1-800-289-9999. The FINRA web site address is [www.finra.org](http://www.finra.org). An investor brochure that includes information describing FINRA BrokerCheck may be obtained from FINRA.

Check the background of Our Firm and Investment Professionals on FINRA's [BrokerCheck](#) or by visiting <https://brokercheck.finra.org>

## Contact Information

Our mission at Ace Diversified is to provide our clients with the most professional level of customer service and timely and appropriate investment advice. We encourage you to let us know how we are doing on reaching those goals. In the unfortunate event that you have a complaint with respect to how your account is being handled or with any other aspect of your valued relationship with Ace Diversified, please contact us immediately at:

Ace Diversified Capital, Inc.  
Attention: Compliance Department  
923 East Valley Blvd., Suite 213, San Gabriel, CA 91776  
Tel (626) 307-8300

**THIS NOTICE IS PROVIDED TO YOU FOR INFORMATIONAL PURPOSES ONLY. YOU DO NOT NEED TO CALL OR TAKE ANY ACTION IN RESPONSE TO THIS NOTICE. WE RECOMMEND THAT YOU READ AND RETAIN THIS NOTICE WITH YOUR FILES.**