



Registered Investment Advisors  
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## PRIVACY POLICY

### THIS DOCUMENT CONTAINS IMPORTANT INFORMATION ON OUR CONCERN FOR PROTECTING YOUR RIGHTS UNDER FEDERAL PRIVACY LAWS

- 1) We collect **personal information** about you and all other clients from the information you submit on our applications or other forms, and through information we obtain over the course of your business relationship with us.
- 2) Personal information is information that we collect from you that is not otherwise available from public sources. The **categories of personal information** we collect include the following:
  - a) Information we receive from you on applications or other forms, such as your name, address, Social Security number, names of family members, assets and income.
  - b) Information about your investment transactions, account balances, investments, and current and prior tax information.
  - c) Information we may receive from you concerning retirement and estate planning.
  - d) Information we may receive from you concerning your various types of insurance policies.
- 3) Generally speaking, **we will not disclose any personal information about our clients or former clients to anyone, consistent with our professional confidentially obligations.** However, upon your written request, we will disclose information about you. In addition, we may be required by law to disclose personal information about you, as for example, in response to a subpoena or other court order.
- 4) Within our firm, we provide access to your personal information only to those employees who need to know the information to provide you with our services. We maintain physical and procedural safeguards to protect your personal information.
- 5) We do not share your personal information with companies that perform marketing services.

**Please call if you have any questions, because your privacy, our professional ethics, and the ability to provide you with quality financial services are very important to us.**