

## PRIVACY STATEMENT

E. Roger Financial Group is committed to maintaining the confidentiality, integrity, and security of personal information about our current and prospective clients. Our clients have access to a broad spectrum of products and services. To effectively and efficiently deliver these products and services, E. Roger Financial Group collects non-public, current and accurate personal and financial information from you. We believe the confidentiality and protection of client's information is one of our most important and fundamental responsibilities. E. Roger Financial Group want to assure our clients that we will protect the information you have entrusted in a manner that is safe, secure, and professional.

Furthermore, E. Roger Financial Group limits the collection, use, and retention of clients' information to what we believe is essential or useful to conduct our business, provide quality service, and offer products, services, and other opportunities. The information we collect may include, but is not limited to: name, address, telephone number, e-mail address, social security number, tax identification number, date of birth, employment status, annual income and net worth.

**Sharing Client Information.** E. Roger Financial Group places strict limits on who receives specific client accounts and other personally identifiable data. E. Roger Financial Group may share information with unaffiliated companies if they:

- Assist us in providing our products and services to clients
- Provide a product or service that benefit our clients
- In the normal course of business with government agencies, consumer reporting agencies, etc.
- In connection with acquisitions and sales
- When legally required or permitted in connection with fraud investigations and litigations.
- At the request or with the permission of the client.

**Internal Security Procedures.** E. Roger Financial Group restricts access to personally identifiable client information to employees who need to know that information to service client accounts. All employees are responsible for maintaining the confidentiality of client information and employees who violate these Privacy Guidelines will be subject to disciplinary measures. E. Roger Financial Group understands and respects the privacy expectations of each client. We are committed to privacy in the use of client information. Clients who may have questions about our Privacy Guidelines or questions about the privacy of their information should contact us directly. These Privacy Guidelines apply to individuals, and we reserve the right to change these Privacy Guidelines, and any of the policies and procedures described above, at any time without prior notice. These Privacy Guidelines serves as general guidance and do not constitute a contract or create legal rights and do not modify or amend any agreement we have with our clients.