EGGERT FINANCIAL MANAGEMENT, INC.

Registered Investment Adviser

PRIVACY POLICY

WHAT IS OUR COMMITMENT TO YOU?

Eggert Financial Management, Inc. (EFM) is committed to maintaining the trust and confidence of our customers. We want you to understand how we protect your privacy when we collect and use information about you, and the measures we take to safeguard that information. Keeping customer information secure and private is a priority for us. The following describes our Privacy Policy. Please take a moment to review it and feel free to contact us with any questions. Thank you for the trust you have placed in us.

WHAT TYPES OF NON-PUBLIC PERSONAL INFORMATION DO WE COLLECT ABOUT YOU?

While providing service to you, we collect non-public personal information about you from the following sources:

- Information from you on account applications and other standard forms (for example, name, address, social security number, assets, types and amounts of investments, transactions and income).
- Information about your TD Ameritrade transactions, our affiliates or others including those companies that work closely with us to provide you with diverse financial products and services (for example, your account balance, payment history, parties to transactions, types and amounts of investments, transactions and credit card usage);
- Information we receive from consumer reporting agencies (for example, your creditworthiness and credit history).
- Information obtained when verifying the information you provide on applications or other forms (this may be obtained from your current or past employers, or from other institutions where you conduct financial transactions).

HOW DO WE PROTECT THE CONFIDENTIALITY AND SECURITY OF YOUR NON-PUBLIC PERSONAL INFORMATION?

Keeping your information secure is one of our most important responsibilities. We restrict access to non-public personal information about you to those employees and agents who need to know that information in order to provide products or services to you. We maintain physical, electronic, and procedural safeguards that comply with federal standards to guard your non-public personal information.

DO WE DISCLOSE TO ANY NON-AFFILIATED THIRD PARTIES YOUR NON-PUBLIC PERSONAL INFORMATION?

We do not sell, share or disclose your non-public personal information to non-affiliated third-party marketing companies.

We may disclose all of the information we collect, as described above in the "What types of non-public personal information do we collect about you?" section to companies that perform marketing or other services on our behalf, or to other financial institutions with whom we have joint marketing agreements. All of these companies are contractually obligated to keep the information that we provide to them confidential and use the information only for the services required and as allowed by applicable law or regulation, and are not permitted to share or use the information for any other purpose.

We may also disclose non-public personal information about you under circumstances permitted or required by law. These disclosures typically include information to process transactions on your behalf, to conduct our operations, to follow your instructions as you authorize, or to protect the security of our financial records.

DO WE DISCLOSE WITHIN OUR FAMILY OF AFFILIATED COMPANIES YOUR NON-PUBLIC PERSONAL INFORMATION?

While providing services to you, we are permitted by law to share within our family of affiliated companies' information about our transactions or experiences with you (such as account balance or payment history).

WHAT IS OUR POLICY RELATING TO FORMER CUSTOMERS?

If you decide to close your account(s) or become an inactive customer, we will adhere to the privacy policies and practices as described in this notice.

Federal law allows you the right to limit the sharing of your NPI by "opting-out" of the following: sharing for affiliates' everyday business purposes –information about your creditworthiness; sharing with affiliates who use your information to market to you; or sharing with non-affiliates to market to you.

State laws and individual companies may give you additional rights to limit sharing. Please notify us immediately at the address shown below if you choose to opt out of these types of sharing.

We reserve the right to change this policy at any time and you will be notified if any changes occur. If you have any questions after reading this Privacy Policy, please contact us by writing to Eggert Financial Management, Inc. 7200 S. Alton Way, Suite A-210, Centennial, CO 80112.

This Privacy Policy applies to consumers who are customers or former customers of Eggert Financial Management, Inc. in the United States.

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