

Goldman Lancaster, Inc

PRIVACY NOTICE REGARDING CLIENT PRIVACY AS REQUIRED BY REGULATION S-P & REGULATIONS-AM

Maintaining the trust and confidence of our clients is a high priority. That is why we want you to understand how we protect your privacy when we collect and use information about you, and the steps that we take to safeguard that information. This notice is provided to you on behalf of Goldman Lancaster, Inc.

Information We Collect: In connection with providing investment advice and other services, we obtain non-public personal information about you, including:

- Information we receive from you on account applications, such as your address, date of birth, Social Security Number, occupation, financial goals, assets and income;
- Account transactions and wire transfer instructions;
- Information about your transactions with us, or others; and
- Information received from credit or service bureaus or other third parties, such as your credit history or employment status.

Categories of Information We Disclose: We may disclose information that we collect in accordance with this policy to affiliated and nonaffiliated third parties who provide services to us or function on our behalf. We do not sell customer lists and will not sell your name to nonaffiliated telemarketers, direct mail marketers or electronic mail marketers.

Categories of Affiliated and Nonaffiliated Third Parties to Whom We Disclose: We will disclose information regarding you or your account with us, under the following circumstances:

- To entities that perform services for us or function on our behalf, including financial service providers, such as a clearing broker-dealer, investment company, or insurance company;
- To consumer reporting agencies,
- To third parties who perform services or marketing on our behalf;
- To your attorney, trustee or anyone else who represents you in a fiduciary capacity;
- To our attorneys, accountants, consultants and auditors; and
- To government entities, self-regulatory organizations, or other third parties in response to subpoenas or other legal process as required by law or to comply with regulatory inquiries.

How We Use Information: Information may be used among companies that perform support services for us, such as data processors, technical systems consultants and programmers, or companies that help us market products and services to you for a number of purposes, such as:

- **To protect your accounts** from unauthorized access or identity theft;
- **To process your requests** such as securities purchases and sales;
- **To establish or maintain an account with an unaffiliated third party**, such as a clearing broker-dealer providing services to you and/or Goldman Lancaster, Inc;
- **To service your accounts**, such as by issuing checks and account statements;
- **To comply** with Federal, State, and Self-Regulatory Organization requirements;
- **To keep you informed** about financial services of interest to you.

Regulation S-AM: Under Regulation S-AM, a registered investment adviser is prohibited from using eligibility information that it receives from an affiliate to make a marketing solicitation unless: (1) the potential marketing use of that information has been clearly, conspicuously and concisely disclosed to the consumer; (2) the consumer has been provided a reasonable opportunity and a simple method to opt out of receiving the marketing solicitations; and (3) the consumer has not opted out. Goldman Lancaster, Inc does not receive information regarding marketing eligibility from affiliates to make solicitations.

Our Security Policy: We have procedures in place that we believe are reasonably designed to protect your personal information from unauthorized access. These include confidentiality agreements with companies we hire to provide services to us, password protected user access to our computer files, training of employees, strict confidentiality policies that apply to all employees and secure access to buildings. Nevertheless, due to the Internet and Internet technologies, security and privacy risks cannot be eliminated and we cannot guarantee that information will not be disclosed in ways not otherwise described in this privacy policy.

Closed or Inactive Accounts: If you decide to close your account(s) or become an inactive customer, our Privacy Policy will continue to apply to you.

Questions and Complaint Notification: Please direct questions or complaints to: Glenn Goldman at Goldman Lancaster, Inc, 301 E Ocean Blvd, Suite 1150, Long Beach, CA 90802; 562-432-0234.

The Federal Trade Commission works for the consumer to prevent fraudulent, deceptive or unfair business practices in the marketplace. You may also address complaints to the Federal Trade Commission at ftc.gov or call toll free at 1-877-FTC-HELP (1-877-382-4357).

Changes to This Privacy Policy: If we make any substantial changes in the way we use or disseminate confidential information, we will notify you. If you have any questions concerning this Privacy Policy, please contact us at: Goldman Lancaster, Inc, 301 E Ocean Blvd, Suite 1150, Long Beach, CA 90802; 562-432-0234.