

Privacy Policy Notice

Maintaining your trust and confidence is among our highest priorities. We recognize that protecting the privacy and security of our customers is an important responsibility. That's why we at Purshe Kaplan Sterling Investments, Inc. 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.

Privacy Policy of Purshe Kaplan Sterling Investments, Inc.,

Purshe Kaplan Sterling Investments, Inc., and its affiliated companies, have each adopted our privacy policy in recognition of our important responsibility in protecting the privacy and security of the personal information we obtain about our clients and customers. We also know that you expect us to service you in an accurate and efficient manner. To do so, we must collect and maintain certain personal information about you. We want you to know what information we collect and how we use and safeguard that information.

What Information We Collect

We collect certain nonpublic personal identifying information about you (such as your name, address and social security number) from information that you provide on applications and other forms and through other communications (such as email and telephone) with you or your authorized representatives (such as your attorney and accountant). We also collect information about your brokerage accounts and transactions (such as purchases, sales, account balances and inquiries).

What Information We Disclose

We do not disclose the nonpublic personal information we collect about you to anyone except to further our business relationship with you and then only to those persons necessary to effect the transactions and provide the services that you authorize (such as broker-dealers, custodians and independent managers) or as otherwise provided by law.

We do not share any information with our affiliates so that they can offer their products and services directly to our clients and customers.

We are permitted by law to disclose nonpublic personal information about you to governmental agencies and other third parties in certain circumstances (such as allowing third parties to perform administrative or marketing services on our behalf or for joint marketing programs). These third parties are prohibited to use or share the information for any other purpose.

Security of Your Information

We restrict access to your nonpublic personal information to those employees who need to know that information to service your account. We maintain physical, electronic and procedural safeguards that comply with applicable federal or state standards to protect your nonpublic personal information.

Departing Representatives

Departing registered representatives may take nonpublic information about a client or customer with them to their new firm, unless the client or customer objects. We understand the importance of the personal relationship between a representative and his or her clients and customers. However, if you wish to prevent your representative from taking nonpublic personal information to the new firm, please "opt out" by following the instructions on the attached form.

Changes to our Privacy Policy or Relationship with You

Our policy about obtaining and disclosing information may change from time to time. We will provide you notice of any material change to this policy before we implement the change.

We will continue to adhere to our privacy policy, as may be amended from time to time, even if you decide to terminate our services or become inactive.

Important Privacy Choice for Consumers

You have the right to control whether your registered representative takes your personal information to his or her next firm.

Please read the following information carefully before you make your choices below.

Your Right

You have the right to prevent your registered representative to from taking nonpublic personal and financial information when he or she leaves and to prevent the representative from sharing this information with his or her new firm.

Your Representative

Choose one or both of the options below.

- ☐ My choice on this form applies to the following individuals:

- ☐ My choice on this form applies to the individual or individuals who primarily serviced my accounts in the last six months.

Your Choice

Permit Information Taking by the Representative and Sharing with the New Firm:

Unless you say "No," your representative may take nonpublic personal and financial information about you to his or her new firm.

If you live in California, Maine, Massachusetts, New Mexico, North Dakota or Vermont , you must choose "Yes" below to permit your Representative may take nonpublic personal and financial information about you should he or she move to a new firm.

- ☐ Yes, the representative(s) listed or described above may take nonpublic personal and financial information and share that information should he or she move to a new firm.
- ☐ No, the individuals listed or described above may not take nonpublic personal and financial information nor share such information with his or her new firm.

Time Sensitive Reply

You may make this privacy choice at any time. Your choices marked here will remain unless you state otherwise.

Name: _____

Account Number(s): _____ [to be filled in by consumer]

Signature: _____

To exercise your choices do one of the following:

- (1) Fill out, sign and send this form to PKS Compliance Department, 80 State Street, Albany, NY 12207 (you may want to make a copy for your records); or
- (2) Fill out, sign and fax this form to us at (518) 935-2309; or
- (3) Call us at (800) 801-6851 or (518) 436-3536.