



HERR CAPITAL MANAGEMENT, LLC
Where Prosperity Begins®

PRIVACY POLICY

HOW WE USE AND PROTECT PERSONAL INFORMATION

HERR CAPITAL MANAGEMENT, LLC is committed to maintaining the confidentiality, integrity and security of the personal information that is entrusted to us. We consider privacy a fundamental part of our relationship with you. Our practices and procedures apply to current and former clients. You have choices and may limit our use of personal information.

INFORMATION WE MAY COLLECT

The categories of nonpublic information we collect from you may include information about your personal finances, information about your health to the extent it is needed for the financial planning process, information about transactions between you and third parties, and information from consumer reporting agencies, e.g., credit reports. We use this information to help you meet your personal financial goals.

DISCLOSURES PERMITTED BY LAW

We may also disclose all the information we collect as permitted or required by law. For example, we may disclose information to State or Federal regulatory agencies and/or law enforcement agencies.

INFORMATION WE MAY DISCLOSE

HERR CAPITAL MANAGEMENT, LLC will not disclose your personal information to companies or organizations not affiliated with us that would use your information to contact you about their own products or services. However, we may disclose the information we collect as described above to our staff, affiliates, representatives, their affiliated businesses, insurance companies, brokers, banks, broker/dealers, and investment advisers that provide service to you on our behalf. These services include items such as: administrative, customer assistance, clearing, operational and other services.

You may choose to authorize us to share your information to attorneys, accountants, and mortgage lenders with whom you have a relationship. You may later cancel information sharing with these nonaffiliated third parties by notifying us at any time by telephone, mail, fax, email, or in person.

SECURING YOUR INFORMATION

We maintain a secure office to ensure your information is not placed at unreasonable risk. We employ a firewall barrier, secure data encryption techniques and authentication procedures in our computer environment.

We do not provide your personal information to mailing list vendors or solicitors. We require strict confidentiality in our agreements with unaffiliated third parties that require access to your personal information, including financial service companies, consultants, and auditors. Federal and state securities regulators may review our Company records and your personal records as permitted by law.

Personally identifiable information about you will be maintained while you are a client, and for the period thereafter that records are required to be maintained by federal and state securities laws. After that time, information may be destroyed.

We will notify you in advance if our privacy policy is expected to change. We are required by law to deliver this *Privacy Notice* to you annually, in writing.

FOR ANY QUESTIONS REGARDING THIS POLICY, PLEASE CONTACT US AT:

HERR CAPITAL MANAGEMENT, LLC 10231 S. Western Ave., #1A Chicago, Illinois 60643 or by calling 312-697-1600.

10231 S. Western Ave., #1A Chicago, Illinois 60643 p 312.697.1600 f 312.697.1601 www.HerrCapital.com

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