



**Financial Services, Inc.**

Member FINRA/SIPC

## **CONSUMER PRIVACY**

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### **PRIVACY NOTICE AND POLICY**

You are receiving this Privacy Notice from Berthel Fisher & Company Financial Services, Inc. ("Berthel Fisher"), and on behalf of the Registered Representatives who are associated with Berthel Fisher ("Representative") because you are either a customer of Berthel Fisher or are considering becoming one. This notice describes our practices concerning the handling of your personal information.

### **SECURITY STANDARDS**

Berthel Fisher is constantly attempting to update and improve its security standards and procedures to help protect against disclosure of information to unauthorized parties. Only those persons who need to do so as part of their job responsibilities are authorized to have access to your information. We train our employees on privacy and information security and on their obligations to protect your information.

### **INFORMATION WE GATHER AND SHARE WITH OTHER COMPANIES**

We do collect and retain nonpublic personal information about you, including information we receive from you or your Representative, such as your name and address, tax identification number, account balances, financial information, servicing information and brokerage activity.

While we do not sell any information to any third parties, we may disclose nonpublic personal information about you to affiliates, Representatives or to third party firms we may retain for clearing, accounting, legal or computer services and as permitted by law. We are selective in choosing these companies and we restrict the information we provide them to only what they need to do their job. They are not permitted to use the information for any purpose other than to assist the servicing of your accounts or as permitted by law and they are not permitted to release this information, use it for their own purposes or transfer it to any other party. If you close your account or if your Representative elects to change broker-dealers, your Representative will be permitted to retain copies of your non-public information to assist with the timely transfer of your account and to continue to serve you at the new firm. If you do not want your Representative to transfer this information, please contact 1-(800)-356-5234 to opt out of this information sharing.

### **MAINTAINING ACCURATE INFORMATION**

We strive to maintain complete and accurate information about you and your accounts. If you ever believe that our records contain inaccurate or incomplete information about you, or you believe we have reported information about you which we should not have done, please let us know immediately. We will investigate your concern and correct any inaccuracies we find and will confirm with you, any actions we take.

Please send your notice to:

Berthel Fisher & Company Financial Services, Inc.  
701 Tama Street, Building B  
Marion, Iowa 52302  
1-800-356-5234

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