

Privacy Policy Notice

Mallery Financial, LLC (“Mallery Financial”), adopted a privacy policy recognizing that protecting the privacy and security of clients’ nonpublic personal information is an important responsibility. We also recognize that you expect us to provide our services accurately and efficiently, which means we must collect and maintain certain nonpublic personal information about you. Our privacy policy discloses how we use your information to provide the services you hire us to perform while safeguarding that information.

Information We Collect

We collect certain nonpublic personal information about you (such as your name, address, social security number, identity verification, etc.) that is needed for applications and other forms and for communication with you or your authorized representatives (attorney, accountant, etc.). We also collect information about your brokerage accounts and transactions (such as purchases, sales, account balances, holdings, etc.).

Information We Disclose

Mallery Financial does not disclose nonpublic personal information about its clients to anyone except: (1) in furtherance of our business relationship with clients, and then only to those persons necessary to effect the transactions and provide the services that clients authorize (for example, broker-dealers, custodians, independent managers, etc.), (2) our attorneys, accountants, and auditors, or (3) as otherwise provided by law.

In certain circumstances we are permitted or required by law to disclose nonpublic personal information about you to governmental agencies and other third parties (such as third parties that perform administrative services on our behalf). These third parties are prohibited from using or sharing the information for any other purpose.

If you decide either to terminate our services or to become an inactive client, we will continue to adhere to our Privacy Policy, as may be amended from time to time.

We are required to report any suspected exploitation of vulnerable adult clients to the proper authorities under federal and state statutes.

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.

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 changes to this policy before we implement the change.

Opting Out

Clients cannot opt out of allowing Mallery Financial to share their nonpublic personal information with non-affiliated third parties that are necessary to service client accounts.

Requests for Information

For a copy of our Privacy Policy, please contact Stephen Mallery, Chief Compliance Officer, either in writing to 4172 Kildare St., Eugene, OR 97404; by email to stephen@malleryfinancial.com; or by phone at (541) 687-7678.