

Patrick M. Sweeney & Associates, Inc.

Privacy Policy

At Patrick M. Sweeney & Associates Inc., we are committed to preserving our client's privacy and information integrity. We have therefore established an effective privacy policy.

Our privacy policy applies to all clients past and present as well as any individual or institution from which we receive private information.

As we work together to achieve your investment goals, you will often share with us non-public information, such as your name, address, telephone number, social security number, e-mail address, employment, income and other such personal information about you, your family and household members. You also may share with us certain non-public personal financial information, such as your investment goals, the net asset values of your investments and your banking arrangements. We collect and maintain this personal information in order to properly serve your account. We consider protecting it a vital part of our service.

We do not disclose your non-public personal information except as may be required or permitted by law or otherwise described in this policy.

We will not sell your personal and financial information to any outside third party or business for marketing, determining your eligibility for credit, for sales of products and/or services, or for any other purpose.

We may disclose your non-public personal and financial information to our affiliates to, for example, provide you with investment services, improve our services to you, make our procedures more efficient, implement security measures and/or to fight fraud.

We also may disclose information about you to the following types of third parties:

- Any person acting in a fiduciary or representative capacity on your behalf (such as a trustee or IRA custodian).
- An affiliate providing administrative, customer assistance, clearing, operational, or other services.
- We also may disclose your non-public personal information to non-affiliated third parties as permitted or required by law. For example, we may disclose to law enforcement agencies or computer security consultants for the purpose of protecting against fraud and unauthorized transactions or in order to maintain the confidentiality of our records.
- On occasion, we may be required to provide information about you and your transactions to governmental agencies, self-regulatory organizations and similar bodies to fulfill legal and regulatory requirements.

Our staff, affiliates, representatives, and their staffs are required to follow our policies and procedures to keep your information secure, confidential, and prevent unauthorized use of your personal information. Our physical, electronic, and procedural safeguards have been reasonably designed to protect your information.

If we change our policies to permit Patrick M. Sweeney & Associates, Inc. or our affiliates to share additional information that we collect and/or maintain about you, you will be notified in advance, and, if required by law, will be given the opportunity to opt out of such additional disclosure and to direct Patrick M. Sweeney & Associates, Inc. not to share such information with such parties.