

# Ralph Parks Investment Group, LLC

## Privacy Notice

### **Privacy Statement**

At Ralph Parks Investment Group, LLC ("RPIG"), *the interests of our clients always come first*. As part of our firm's tradition of trust, the confidentiality of client information has been and will continue to be paramount. We maintain high standards to safeguard your personal financial information at all times, and we will remain vigilant in protecting that information.

This notice describes the privacy policy followed by RPIG regarding:

- The information we collect from clients
- How we treat the information we collect about clients and prospective clients to whom we provide service; and
- The third parties with whom we may share this information.

### **Information we collect**

In order to provide clients with individualized service, we collect certain nonpublic personal information. This information is collected from account applications and other forms and during meetings. This may include name, address, social security number, assets and income. We also collect information about client transactions with us, such as purchases and sales, account balance, payment history, parties to a transaction, debit card usage and funds movement. RPIG also could receive information from third parties. We collect such information about client accounts by mail, telephone or email.

### **Information disclosed to third parties**

We do not disclose any nonpublic personal information about our clients, prospective clients or former clients to anyone, except as permitted by law.

Specifically, so that RPIG may continue to offer services that best meet client needs, and to affect transactions clients request or authorize, we may disclose the information we collect to companies that perform administrative or marketing services on our behalf.

For example, information may be disclosed to transfer agents, custodians and broker-dealers, other registered investment advisors or printers. These companies assist RPIG in processing transactions, performing general administrative activities, or evaluating requests for products or services. The recipients of that information are required to protect the confidentiality and security of that information and may not reuse it for any other purpose.

If a client or prospective client decides to close an account or otherwise become an inactive customer we will continue to follow the privacy practices described in this notice.

### **Protecting Confidentiality and Security**

With regard to our internal security procedures, our employees are required to protect the confidentiality of information. Employees may access information only when there is an appropriate reason to do so, such as to administer and service a client account. Employees are subject to disciplinary action if they do not comply with our policies. We also maintain physical, electronic and procedural safeguards to protect client information. These safeguards comply with all applicable laws. Our commitment to data security involves monitoring new advances in security technology and enhancing our security architecture to insure that we provide the highest level of privacy and safety available for our clients. With regard to unaffiliated third parties, we require service providers to RPIG to maintain policies and procedures designed to:

- Insure the security and confidentiality of shareholder records and information;
- Protect against any anticipated threats or hazards to the security or integrity of shareholder records and information; and
- Protect against unauthorized access to or use of shareholder records or information that could result in substantial harm or inconvenience to any shareholder.

### **Opt out Provision**

Every consumer has the right to direct that personal financial information not be shared with nonaffiliated third parties, subject to certain specific exceptions relating to:

- joint marketing programs, or
- service providers as necessary to effect a transaction or administer the customer's account, or
- legal and regulatory disclosure

RPIG does not disclose any information outside the exceptions to non-affiliated third parties.

## **Questions and Answers about our Privacy Practices**

How do we protect the confidentiality and security of your information?

**People.** We restrict access to your personal financial information to personnel who need that information to provide you with our services.

**Policies and Procedures.** We maintain and monitor our physical, electronic and procedural safeguards, updating them as needed so that we may guard your personal information.

**Security.** We use industry standard security methods to help us identify and prevent data breaches.