



## MTAM Privacy Policy

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### PRIVACY POLICY

Miller Tabak Asset Management, LLC has adopted this policy with recognition that protecting the privacy and security of the personal information we obtain about our customers is an important responsibility. We also know that you expect us to service you in an accurate and efficient manner. To do so, we must collect and maintain certain personal information about you. We want you to know what information we collect and how we use and safeguard that information.

- We protect the confidentiality and security of information we collect about our clients.
- We collect nonpublic personal information about clients from the following sources:
  - o Information we receive from clients on applications or other forms;
  - o Information we receive from clients in response to our "Know Your Customer" enquiries; whether in person, by telephone or electronically. We may verify this information or get additional information from consumer reporting agencies or public sources.
  - o Information regarding transactions with us, our affiliates or others, such as account balances and account activity.
- We do not disclose any nonpublic information about clients to anyone except as permitted or required by law. We share your information in the following cases:
  - o In furtherance of our business relationship with non-affiliated third party financial companies, and then only to those persons necessary to effect the transactions and provide the services that they authorize (such as broker dealers, custodians, independent managers etc.)
  - o To persons assessing our compliance with industry standards (e.g., professional licensing authorities, etc.)
  - o Information may be disclosed for audit or research purposes, to attorneys, accountants or other professionals, or to law enforcement and regulatory agencies to help, among other things, prevent fraud or money laundering.
- We are permitted by law to disclose the nonpublic personal information about you to governmental agencies and other third parties in certain circumstances (such as

third parties that perform administrative or marketing services on our behalf or for joint marketing programs), however we will not do so. These third parties are prohibited to use or share the information for any other purpose.

- Our employees are required to protect the confidentiality of information and to comply with our established policies. They may access information only when there is an appropriate reason to do so.
- We also maintain physical, electronic and procedural safeguards to protect client information.

If clients decide to close account(s) or become inactive, we will adhere to the privacy policies and practices as described in this notice.

Our policy about obtaining and disclosing information may change from time to time. We will provide you notice of any material change to this policy before we implement the change.

If you have any questions about our privacy policy, you may contact our Compliance Department at [hfrey@millertabak.com](mailto:hfrey@millertabak.com). You may also write or call us. Write us at: Miller Tabak Asset Management, 1000 Route 34, Suite 604, Matawan NJ 07747. Call us at: (212) 850-8103.