

## MINNESTOA VALLEY INVESTMENTS PRIVACY POLICY

At Minnesota Valley Investments we strive to provide you with the highest level of service and quality of products. In that regard, the privacy of the information you provide to us is important and we want to assure you that we are committed to protecting your privacy. We urge you to read this Privacy Notice so that you will understand our commitment to you and your privacy.

In order to provide you with the highest level of service possible, it is necessary for us to collect and maintain certain personal information about you. We collect this information from application and other forms, and your dealings with us.

The types of information we collect and maintain may include:

- Information contained in application and other forms including your name, address, social security family member information, beneficiaries, assets, and income;
- Information concerning your relationships with us such as products or services purchased from us, account balances and transaction and payment history.

We use personal information in ways that are compatible with the purposes for which we originally requested it. Minnesota Valley Investments may use your personal information for the purpose of processing your re-quests and transactions, offering or furnishing additional products and services or to evaluate your financial needs. Minnesota Valley Investments does not share your personal information with unaffiliated companies. Our employees are required to protect your personal information and keep it confidential. We may share your information with our clearing firm, Mesirow Financial. We may also share personal information described above with firms that assist us in carrying out your needs. For example, we may share your personal information for specific business purposes with the following companies:

- Financial service institutions, such as mutual fund companies, securities brokers, and banks, with whom we have joint marketing agreements.
- Companies under contract to perform services for us or on our behalf (such as vendors providing data processing, computer software maintenance and development, and transaction processing.

**BE ASSURED THAT MINNESOTA VALLEY INVESTMENTS DOES NOT SELL PERSONAL INFORMATION TO ANYONE.** In addition, we treat the personal information of our former clients in the same manner as we treat the personal information of our current clients.

We also reserve the right to disclose your personal information in certain circumstances where we feel that disclosure is required by law, to assist law enforcement officials or officials of regulatory agencies, to perform credit checks or collect monies owed to us, and to protect our rights and property.

At Minnesota Valley Investments, our goal is to maintain current and accurate information about you in order to properly service your needs. Consequently, Minnesota Valley Investments clients can have reasonable access to their personal information to verify the accuracy of this information. You may either write or call your Minnesota Valley Investments representative to request your personal account information. If you identify any error in your personal information or you would like to update your records, please advise your Minnesota Valley Investments representative.