



## **Brewer Financial Services, LLC and Brewer Investment Advisors, LLC Privacy Policy Statement**

Brewer Financial Services (BFS), a registered broker dealer, and Brewer Investment Advisors (BIA), a registered investment advisor, has established the following guidelines to comply with the Gramm Leach Bliley Act (the "Act"). Our policy regarding customer privacy and the use of personal non-public information apply both to current and former customers, and are designed to comply with the privacy provisions in Title V of the Act, as well as applicable federal privacy regulations.

In order to provide you with products and services for which you have requested, Brewer Financial may receive non-public about you from the following sources:

- Information we receive from you on applications or other forms; and
- Information about your transaction activity with us or outside companies such as mutual fund and insurance companies.
- Credit reporting agencies for verification of accuracy of application data and/or to access credit worthiness for credit products.

### **How Your Information is Protected**

BFS and BIA do not share our clients' non-public personal information with any third party other than those service providers that are permitted by sections 248.14 pr 248.15 of the Act. This includes those in connection with the servicing or processing of financial products or services that you, the customer, requests and/or authorizes. If in any future period BFS and BIA decides to share personal nonpublic information, you will be given notice and will have the opportunity to opt out of sharing arrangement.

BFS and BIA restrict access to your personal and account information to employees, registered representatives, and service providers for legitimate business purposes. BFS and BIA maintain physical, electronic and procedural safeguards to protect your non-public personal information. We may share personal information we collect about our customers, prospects and former customers to service providers such as: clearing houses, government agencies, consumer reporting agencies, and other organizations, as permitted by law, that protect your privacy.

### **Use of Information by Your Registered Representative**

We know that for many of our customers, their ongoing relationship with their Registered Representative is of major importance. Therefore, we permit our registered representatives to maintain his/her own database and file on his/her customers which may include you. These files may contain some or all of the same information, confidential or otherwise, we possess about you. We further permit our registered representatives to use this information in servicing your account(s) and to take this information with them and share it with a new, unaffiliated

broker-dealer, should your registered representative end his/her registration/affiliation with BFS and/or BIA. We do this to enable former registered representatives to provide continued, uninterrupted service to you, our customer, should you desire to transfer your accounts to a new broker-dealer. If you wish to opt out of this information sharing arrangement with our registered representatives, please inform us either by writing to us at the address below or calling our Compliance Department at (312) 896-3930.

### **On-Line Privacy**

In addition to the privacy guidelines outlined above, the following on-line principles describe BFS and BIAS's commitment to protecting your information when accessing us through the World Wide Web. We employ proven protection such as: firewalls; encryption techniques; and authentication verification techniques. Brewer Financial offers different options for accessing your account information. You can review your information independently using your statements, Internet services, or by telephone through your investment professional. Specific address and telephone numbers are listed on your statements and other correspondence.

### **Business Continuity Plan**

Brewer Financial has implemented a Business Continuity Plan so we may continue to service our clients in the event of an unforeseen disruption to our normal business operations. The business Continuity Plan is designed to safeguard firm property, protect all of the firm's books and records, allow for customers to transact business, and maintain the privacy of our customers' information. To request a copy of BFS and BIA's Business Continuity Plan, please visit our website at [www.BrewerServices.com](http://www.BrewerServices.com) or contact the Compliance Department at (312) 896-3930.

Should you have any questions regarding our privacy policy, please contact Brewer's Compliance Department at: [BFSCompliance@brewerinvestmentgroup.com](mailto:BFSCompliance@brewerinvestmentgroup.com)

For More Information Please Contact:

Brewer Financial Services, LLC

Compliance Department

200 South Michigan Ave, 21<sup>st</sup> Floor

Chicago, IL 60604

[www.brewerservices.com](http://www.brewerservices.com)

312-896-3930