Eagle Rock
Financial Advisers

PRIVACY DISCLOSURE DOCUMENT

Protecting your privacy is very important to Eagle Rock Financial Advisers, Ltd. We want you to understand what information we collect and how it is used. We collect and use “nonpublic personal information” in order to provide our clients with a broad range of financial products and services as effectively and conveniently as possible. We treat nonpublic personal information in accordance with our Privacy Policy.

Information We Collect and From Whom We Collect It

We may collect nonpublic personal information about you from the following sources:

- Information we receive from you on applications or other forms;
- Information about your transactions with us, our affiliates, or others;
- Information we receive from you voluntarily, such as your email address and other information contained in your email messages.

“Nonpublic personal information” is nonpublic information about you that we obtain in connection with providing a financial product or service to you. This information may be collected in person, by mail, fax, or by other electronic means as permitted by law or in accordance with express authorization from you.

What Information We Disclose and to Whom We Disclose It

We do not disclose nonpublic personal information about our clients or former clients to any non-affiliated third parties, except as permitted by law. In the course of servicing a client’s account, we may share some information with our service providers, such as transfer agents, custodians, broker-dealers, accountants, and lawyers.

Your Right to Verify Accuracy of Information We Collect

Keeping your information accurate and up to date is very important to us. You may access and correct nonpublic personal information about you that we collect except for information relating to or in anticipation of a claim or a criminal or civil proceeding.

Our Security Procedures

We restrict internal access to nonpublic personal information about our clients to those employees who need to know that information in order to provide products or services to the client. It has always been and will always be our policy never to sell information about current or former clients or their accounts to anyone. It is also our policy not to share information unless required to process a transaction, at the request of a client, or as required by law.

ERFA Privacy Policy version 1.1.2018