



**Majestic Oak Financial**  
A Registered Investment Advisor

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## **Privacy Statement**

Maintaining the confidentiality of your personal information is very important to us at Majestic Oak Financial, LLC (MOF). We take very seriously our duty to maintain the inherently private nature of the information you provide to us. **It is our policy to disclose information only with your authorization or when it is required by law.**

### **How do we collect information about our clients?**

- From written agreements, applications and forms that are submitted to Majestic Oak Financial, LLC
- From conversations, faxes, or emails in the course of providing service
- Through the course of monitoring your accounts

### **How do we safeguard that information?**

- A secure office and computer environment is maintained to ensure private information is not placed at unreasonable risk. However, certain risks are inherent with the use of the Internet. While MOF will take every reasonable step to ensure that Client personal information is not compromised, MOF is not responsible for the failure of any technology or encryption service that is used that results in a breach of security. Any communication between Client and MOF via the use of email is inherently not secure and in this regard, MOF can take no steps to ensure that Client information remains private.
- All documents and/or drafts containing client information that are not required to be kept on file are promptly destroyed.
- Employees with access to client information are required to follow company procedures regarding the security of confidential information.

### **With whom might we share information?**

- Information shared with non-affiliated third parties is limited to facts that are required to perform a particular service. This information is only disclosed **with your prior authorization**. We require and expect strict confidentiality from all third parties with whom we share your personal information. Examples of these non-affiliated third parties include:
  - Brokerage firms such as TD Ameritrade Institutional
  - Insurance companies offering policies such as life, long-term care or casualty insurance
  - Attorneys, accountants, pension consultants and other advisory professionals with whom we correspond at with your request
  - Mortgage brokers and bankers
  - Government agencies such as the Social Security Administration
- Confidential client information may be provided during regulatory review by regulatory agencies that supervise Majestic Oak Financial, LLC.
- We do not provide any personal information to mailing list vendors or solicitors for any purpose.

If you have any questions or concerns regarding these policies and procedures, please contact Majestic Oak Financial, LLC.

### **“Opt-Out” Notice**

Prior to disclosing a client’s nonpublic personal information to nonaffiliated third parties, financial service providers must provide a reasonable means and an opportunity to “opt-out” of having information shared. There are certain exceptions that permit firms to share nonpublic personal information with nonaffiliated third parties without providing opt-out notices. These exceptions include disclosures made: in connection with certain processing and servicing transactions; with the consent or under the direction of the client; to protect against fraud; to respond to judicial process; etc. In all cases, we supply client information to nonaffiliated parties only after we receive consent, including situations in which this information is contained in forms and applications that were signed by the client prior to submission to the nonaffiliated party. Therefore, Majestic Oak Financial, LLC has determined that all sharing of nonpublic personal information is within the permitted exceptions and that we are not required to provide opt-out notices.