

Privacy Policy Notice

At Private Portfolio, We recognize the importance of protecting your privacy and we have policies in place to maintain the confidentiality and security of your personal information. The following policy is designed to help you understand what information we collect from you and how we use that information to serve your account, working along with Pershing, our clearing firm.

Confidentially and Security

We restrict access to nonpublic, personal information about you to those employees and agents who need to know that information to provide products or services to you. We maintain physical, electronic, and procedural safeguards to protect your nonpublic, personal information.

Categories of information that Private Portfolio discloses and parties to who Private Portfolio discloses

We do not disclose any nonpublic, personal information about our clients or former clients to anyone else, except as permitted by law.

Categories of information that Private Portfolio collects

We 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, or others.
- Information we receive from a consumer reporting agency.

Rule: SEC Regulation S-P

Business Continuity Disclosure

Private Portfolio maintains a business continuity plan (the "Plan"). Consistent with regulatory requirements, Private Portfolio provides this disclosure statement to our clients which summarizes the Plan. Clients should understand that because the Plan contains confidential details and proprietary information, it cannot be distributed outside of the firm. The Plan is reviewed annually and may be updated at any time.

The Plan is designed to be activated in the event of a significant business disruption. The Plan attempts to continue critical operations if an event were to occur that would impact the firm's business locations or systems. The Plan anticipates a variety of significant business disruptions and the actions Private Portfolio would take in the event of a building, city-wide or regional incident. The Plan provides that after performing an initial assessment of the event, personnel would be relocated to preassigned back up facility.

To give clients a sense of the recovery time objectives for mission critical business resumption, the Plan calls for 4 hours for a building level of disruption which cover various events impacting the firm's office buildings. For more severe incidents, such as a Regional disruption, our recovery time goal is to resume some aspects of critical business operations within 24 hours. We stress that these recovery time frames are objectives and may be negatively impacted by circumstances beyond our control.

Rule: NASD Rule 3510(e)

PrivacyPolicy_BusinessCont.pdf