

# CARLSON INVESTMENTS

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## PRIVACY ACT NOTICE

D L Carlson Investment Group, Inc. strongly believes in protecting the confidentiality and security of information we collect about you. This notice describes our privacy policy and describes how we treat the information we receive about you.

### WHY WE COLLECT AND HOW WE USE INFORMATION

We collect information described below in order to:

- Evaluate your request for our services
- Provide investment advice
- Process transactions for your account

### WHAT INFORMATION WE COLLECT

The personal information we collect may include but is not limited to:

- Name and address
- Social Security or taxpayer identification number
- Assets
- Income
- Account balances
- Investment objectives
- Investment activity
- Accounts at other institutions

### HOW WE PROTECT INFORMATION:

We do not sell your personal information to anyone.

We treat information about current and former clients and their accounts in a confidential manner. Our employees may access information and provide it to third parties only when completing a transaction for you (at your request) or when providing our service to you.

At your request, we may disclose information to attorneys, accountants, lawyers, securities professionals and others to assist us, or them, in providing services to you. We may also share information with companies that perform services on our behalf, such as companies that we hire to perform administrative services. Companies we may hire to provide support services are not allowed to use your personal information for their own purposes. We may make additional disclosures as permitted or required by law.

We also maintain physical, electronic and procedural safeguards to protect information. Employees and our managers and counselors are required to comply with our established information confidentiality provisions as outlined in the D L Carlson Investment Compliance Policy Manual.

### ACCESS TO AND CORRECTION OF INFORMATION.

Generally, upon written request, we will make available information for your review. Information collected in connection with, or in anticipation of, any claim or legal proceeding will not be made available.

If your personal information with us becomes inaccurate, or if you need to make a change to that information, please contact us at the number shown below so we can update our records.

### FURTHER INFORMATION

Please direct any questions or inquires in writing at 2 Capital Plaza, Suite 404, Concord, NH 03301 or by calling (603) 224-5977.