



## **Privacy Policy**

At S.G. Long Financial, we value our customer's business and privacy. Please take a moment to read our privacy statement.

### **I. Collection of Customer Information**

You may be providing us with, or we may be collecting, nonpublic personal information. In most cases this includes personal financial information, (such as net worth and annual income). For life & health insurance customers this information may include personal health information, (such as medical history).

We only disclose personal health information permitted or required by law or with your prior written authorization. Therefore, in the remainder of this notice, unless otherwise noted, references to nonpublic personal information exclude all personal health information.

We collect nonpublic personal information from the following sources:

Information we receive from you on applications or other forms such as your name, address, and social security number;

Information about your transactions with us, our affiliates, or others such as your account balances;

Information we receive from other third parties such as a consumer-reporting agency for the purposes of opening margin accounts and accessing creditworthiness.

Please note that publicly available information, except in limited circumstances, is not considered nonpublic personal information.

### **II. Use, Protection and Disclosure of Information**

It is our policy not to disclose any personal information about our clients or former clients. This includes providing client information to others for the purpose of marketing or soliciting products or services other than our own. We may disclose some or all of the nonpublic personal information described above about our customers to our clearing firm, mutual funds, insurance and annuity companies, or other service providers for the purposes of servicing and administering your account(s) (such as printing account statements). We directly or indirectly have agreements with our affiliates to not divulge or share any client information.

### **III. Maintaining Accurate Information**

It is very important to us to maintain accurate and up to date information. If you ever find that your account information is incomplete, inaccurate, or not current, please contact your SG Long Financial representative.

### **IV. Our Employees' Access to Customer Information**

In the course of business, it is necessary for employees of S.G. Long Financial to access information about you and your accounts. All employees are instructed to abide by our privacy policy and the Gramm-Leach-Bliley Act.

Please contact our office at (406) 721-0999 if you have any questions regarding this statement, or write us at - SG Long Financial, 283 West Front Street, Suite 302, Missoula, MT 59802, Attn: Compliance Department.

## **Customer Identification when opening new accounts or when updating existing account information**

To help the government fight the funding of terrorism and money laundering activities, federal law requires financial institutions to obtain, verify, and record information that identifies each person who opens an account.

**What types of information will I need to provide?**

Your Name, Date of Birth, Address, Identification Number

- **U.S. Citizen:** taxpayer identification number (Social Security Number or Employer Identification Number)
- **Non-Citizen:** taxpayer identification number, passport number, and country of issuance, alien identification card number, or government issued identification showing nationality, residence, and a photograph of you.

The U.S. Department of Treasury, Securities and Exchange Commission, FINRA, and New York Stock Exchange rules may also require you to provide additional information such as:

- Your net worth, annual income, occupation, employment information
- Investment experience, liquidity needs, objectives, and risk tolerance

**What happens if I don't provide the information requested or my identity can't be verified?**

*SG Long Financial may not be able to open an account or carry out transactions for you. If you already have an account open with our company, we may have to close it.*

### **SG Long Financials' Business Continuity Planning**

SG Long Financial has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our Business Continuity Plan.

Contacting Us - If after a significant business disruption you are not be able to contact us as you usually do at (406)721-0999, you should call our alternative number (800)823-8234 or go to our web site at [www.sglong.com](http://www.sglong.com).

Our Business Continuity Plan - We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm's books and records, and allowing our customers to transact business. In short, our Business Continuity Plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our Business Continuity Plan addresses: data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments within 24 hours. Your orders and requests for funds and securities could be delayed during this period.

Varying Disruptions - Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within a 24-hour time period. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business within a 48 hour time period. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary,

and notify you through our web site [www.sglong.com](http://www.sglong.com) or our customer emergency number, (800)823-8234 how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to their funds and securities.

For more information – If you have questions about our business continuity planning, you can contact us at (406)721-0999 or (800)823-8234 or [tgreene@sglong.com](mailto:tgreene@sglong.com).

### **Order Flow / Best Execution for Securities Transactions**

Payment for Order Flow: Unless otherwise instructed, your brokerage firm and/or its clearing agent routes equity orders taking into consideration, among other factors, the quality and speed of execution, as well as the credits and cash payments receivable from any exchange, other broker dealers, and other market centers. Whenever possible, your brokerage firm and/or its clearing agent will route executions at prices equal or superior to the nationally displayed best bid or best offer. Your brokerage firm and/or its clearing agent may use the compensation received to help keep costs competitive and provide clients with quality execution services. The nature and source of payments and/or credits received in connection with specific transactions will be furnished upon written request.