



Our Commitment to Privacy

Hazard & Siegel Inc. has always been committed to maintaining the confidentiality, integrity, and security of personal information entrusted to us by current and prospective customers. We are proud of our privacy practices, and we want you to know how we protect your information and how we use it to service your account. We hope that you will take a moment to review the privacy policy of the firm, including certain details that depend on whether you deal with us through an independent investment professional or through your employer.

Hazard & Siegel Inc. Privacy Policy

How and Why We Obtain Personal Information

Hazard & Siegel Inc. uses personal information collected about you to provide you with the superior service you have come to expect. We may use this information in order to develop and deliver products and services; process transactions in your account; respond to inquiries from you or your representative; or to fulfill regulatory requirements. We may collect nonpublic personal information about you from any of the following sources:

- From you or your representative on applications or forms (for example – name, address, social security number, birth date, assets, and income)
- From transactional activity in your account (for example – trading history and balances)
- From other interactions with Hazard & Siegel Inc (for example- discussions regarding customer service or account maintenance with a member of our staff.)
- From verification services and consumer reporting agencies (to ensure the accuracy of application data)
- From you or your independent representative regarding the use of investment company internet services (for example, user ID's and passwords)
- From other sources with your consent or with the consent of your independent representative (for example, from other institutions if you transfer assets into Hazard & Siegel Inc.)

How We Protect Your Information

Hazard & Siegel Inc. has always considered the protection of sensitive information to be a sound business practice and a foundation of customer trust. We employ extensive information protection controls in keeping with industry standards and practices, and we regularly adapt these physical, electronic, and procedural controls to respond to changing requirements and advances in technology.

With the help of our service providers, we restrict access to information to those who require that access in order to provide services and products to you. We may share the personal information that we collect with the following entities:

- Affiliates, including affiliated service providers (for example, for data processing and printing)
- Government agencies and law enforcement officials (for example, for tax reporting or to respond to a court order)
- Other organizations, with your consent (for example, if you use our firm as a financial reference in applying for credit with another institution)
- Other organizations, as permitted by the laws that protect your privacy (for example for fraud protection)
- Regulatory officials, such as the National Association of Security Dealers (FINRA), Municipal Securities Rulemaking Board (MSRB), or state insurance departments.

Privacy Online

Hazard & Siegel Inc. considers privacy, security, and service in our online operations to be just as critical as in the rest of our business. Therefore, we employ all of the safeguards described above, along with internet specific practices.

We use a variety of proven protections to maintain the security of your online information. For example, we make extensive use of firewall barriers, encryption techniques, and authentication procedures.

Your Connection to Hazard & Siegel Inc.

Individuals interact with us in a variety of ways, and under some of these variations we may exchange information with parties in addition to those described above. For example, if you conduct business with us through your employer, we may collect and exchange information such as payroll, banking, and insurance data. This is only to allow us to properly service your accounts. We may share information collected with your independent investment professional. We will also share information with others, only after receiving instructions from you. The information collected is not shared with our affiliates or any other parties for any type of marketing purposes.

If you are a former client, your information is treated in the same manner as the information of current clients.

For your convenience, we offer several options for accessing your account information. You can review your information using your statements, or through internet services provided by the various investment and insurance companies. Many of these companies now provide services so that you may receive your statements and correspondence online, rather than in the mail. You may also email, write, or call your independent financial professional or our office with your request for information. To further protect you, we require prior written consent from you to communicate with you via email, fax, or other non-secure means.

Availability of Privacy Statement

The most recently updated privacy statement is always available at www.hazardsiegel.com. We will inform you in writing if we change our firm policies regarding information sharing if said changes are other than those required by regulation.

Sincerely,

David M. Mullen
President, Hazard & Siegel Inc.
Member FINRA/SIPC