

## **OARSMAN CAPITAL, INC.**

### **Notice Regarding Treatment of Confidential Information (Privacy Policy)**

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#### **Privacy Notice to Our Clients**

Oarsman Capital is committed to protecting the confidentiality and security of information we collect about you. This notice describes our privacy policy and how we treat the information we receive about you.

#### **Why We Collect and How We Use Information**

When we evaluate your request for our services, provide investment advice to you and process transactions for your account, you provide us with personal information that we need to perform those services. We may also use your information to evaluate whether other services we provide might help meet your investment needs.

#### **What Information We Collect**

Personal information we collect may include:

- Name and address;
- Telephone numbers and email addresses;
- Social Security or taxpayer identification number;
- Assets and liabilities;
- Age/date of birth;
- Occupation;
- Income;
- Account balances and positions;
- Investment objectives and risk tolerance;
- Accounts at other institutions; and
- Other financial and/or personal information.

#### **How We Protect Your 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, representatives and affiliates may access your information and provide it to third parties only when completing a transaction at your request or providing other services to you. We maintain physical, electronic, and procedural safeguards to protect your information, and our personnel are required to comply with established information confidentiality and security provisions.

We may share your information with nonaffiliated third parties when providing services to you. Such third parties may include retirement-plan sponsors or third-party administrators, mutual fund companies, third-party advisory firms, broker-dealers/custodians, transaction-clearing firms, securities-industry professionals, and companies that assist us with the maintenance of required records and other regulatory matters. Companies we hire to provide support services are not allowed to use your personal information for their own purposes.

At your request, we may disclose your information to attorneys, accountants, securities-industry professionals, and others to assist us, or them, in providing services to you. If you close your account(s), we may share your information with the new broker/dealer, investment adviser or custodian that you select. Finally, we will disclose your information as required by laws and rules applicable to you, client-account service providers, Oarsman Capital or Oarsman Capital's representatives.

If you prefer, we not share your personal information (except in those circumstances described above that are permitted or required by law), you may opt out at any time by notifying us in writing of your wishes.

#### **Access to and Correction of Information**

Generally, upon your 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 so we can update our records.

#### **Further Information**

For additional information regarding our privacy policy, please contact Oarsman Capital at 790 North Water Street, Suite 1850, Milwaukee, Wisconsin, 53202 or by calling (414) 221-0081.