



## ***Privacy Policy***

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May 2012

Montgomery Financial Group recognizes and respects the privacy of all our clients, past and present. We are required by SEC regulations to provide our clients with a privacy policy statement. As the following policy highlights, we are committed to observing a high standard of privacy for all clients of The Montgomery Financial Group, at 508-240-1151.

### ***Information We May Collect***

In providing you with financial services, we collect certain nonpublic personal information about you for the purpose of administering your account and our operations, and to comply with legal and regulatory requirements. This information includes, but is not limited to, your name, address, telephone number, social security number and date of birth. Also, we collect information about your transactions with us or others, including, but not limited to, your account number(s), securities holdings, transactions, cost basis information and other financial information.

We limit the collection and use of your information to the minimum we require to deliver service to you, and to administer our business. Within our company, we restrict access to clients' personal financial information to the employees who need to know that information in order to service your account.

### ***Information We May Disclose and To Whom We May Disclose***

We do not disclose, and do not reserve the right to disclose, any nonpublic personal information about you to nonaffiliated third parties, except as permitted by law. For example, we may disclose such information to other service providers, such as account custodians, to enable them to service your account and to effect transactions that you request or authorize. In all such cases, such disclosures are only made with your knowledge and permission, and the service providers are contractually required to maintain confidentiality of the information. We may also disclose the above-described information under the following circumstances:

1. If the information is required by law (for example, a subpoena or court order to produce records regarding the client's account). In such instances, information provided is limited to that required by the specific law.
2. If the information is required by an auditor or examiner for the purpose of completing an audit or regulatory examination.

We do not provide your personally identifiable information to mailing list vendors or solicitors for any purpose.

### ***Accuracy of Information***

We make every effort to maintain the most up to date, complete and accurate client and account information. If you believe any such information is inaccurate, please call us. If it is determined that the information is incorrect, we will quickly take action to correct it.

### ***Retention of Records***

Personally identifiable information about our clients will be maintained during the time they are clients, and for the period of time such records are required to be maintained by federal and state securities laws, and consistent with the CFP® Board Code of Ethics and Professional Responsibility. After this required period of record retention, all such information may be destroyed.

### ***Our Security Practices***

We maintain appropriate administrative, technical, and physical safeguards to ensure that your information is not placed at unreasonable risk.

If you have any questions regarding our Privacy Policy Statement, please contact Herb Montgomery, Principal, The Montgomery Financial Group, at 508-240-1151.

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