

ANNUAL PRIVACY NOTICE FOR CLIENTS OF PROSPECT FINANCIAL GROUP
July 29, 2020

We do not disclose nonpublic personal information about our clients or former clients to third parties other than as described below.

Types of Information We Collect

We collect information about you (such as your name, address, social security number, assets, income, financial and tax information) from our discussions with you, from documents that you may deliver to us and in the course of providing advisory services for you.

Use and Disclosure of Information We Collect

For current and former clients, we do not use or disclose any nonpublic personal information obtained in the course of our practice except as required or permitted by law. For instance, we may use the information provided by you to provide advisory services to you, to open an account for you, to process a transaction for your account or otherwise in furtherance of our business. Our ability to perform services on your behalf relies on this targeted ability to share nonpublic information about you with third parties. Under applicable law, you must "opt-in" for us to share nonpublic information about you with third parties. As part of this Privacy Notice, we are requesting your consent to share your personal information with third parties that assist us in providing services to you and who have a need for such information, such as regulators, brokers, custodians, back office assistants, administrators, or software providers.

We may also provide your information to other third parties that we believe are your authorized representatives, such as your attorneys or CPAs, or otherwise at your direction or with your consent.

We do not otherwise provide information about you to outside firms, organizations or individuals except to our attorneys, accountants and auditors and as permitted by law. Further, we maintain physical, electronic and procedural safeguards to guard your personal information.

Scope

This Privacy Notice relates to Prospect Financial Group, LLC.

Please contact us if you have any questions about our privacy policy, your consent to the sharing of your information or how your information is used by the third-party service providers we use. Your privacy, our professional ethics and our ability to provide you with the highest caliber of service are very important to us.