



# HARRISON LAZARUS ADVISORS

GIVING LIFE TO YOUR FINANCES™

## PRIVACY NOTICE REGARDING CLIENT PRIVACY IN ACCORDANCE WITH REGULATION S-P

**Maintaining the trust and confidence of our clients is a high priority. That is why Advisor wants Client to understand how Advisor protects Client's privacy when Advisor collects and uses information about Client, and the steps that Advisor take to safeguard that information. This notice is provided to client on behalf of Harrison Lazarus Advisors, Inc.**

**Information Advisor Collects:** In connection with providing investment products, financial advice, or other services, Advisor obtains non-public personal information about you, including:

- Information Advisor receives from Client on account applications, such as Client's address, date of birth, Social Security Number, occupation, financial goals, assets and income;
- Information about Client's transactions with us, our affiliates, or others; and
- Information received from credit or service bureaus or other third parties, such as Client's credit history or employment status.

**Categories of Information Advisor Discloses:** Advisor may only disclose information that Advisor collects in accordance with this policy. Advisor, does not sell customer lists and will not sell Client's name to telemarketers.

**Categories of Parties to Whom Advisor Discloses:** Advisor will not disclose information regarding client or Client's account, except under the following circumstances:

- To Client's authorized Registered Representative and his or her manager;
- To our parent companies or their affiliates, to the extent permitted by law;
- To entities that perform services for us or function on our behalf, including financial service providers, such as a clearing broker-dealer, investment company, or insurance company;
- To consumer reporting agencies;
- To third parties who perform services or marketing on our behalf;
- To Client's attorney, trustee or anyone else who represents Client in a fiduciary capacity;
- To our attorneys, accountants or auditors; and
- To government entities or other third parties in response to subpoenas or other legal process as required by law or to comply with regulatory inquiries.

**How Advisor Uses Information:** Information may be used among companies that perform support services, such as data processors, technical systems consultants and programmers, or companies that help market products and services to client for a number of purposes, such as:

- **To protect Client's accounts** from unauthorized access or identity theft;
- **To process Client's requests** such as securities purchases and sales;
- **To establish or maintain an account with an unaffiliated third party**, such as a clearing broker-dealer providing services to client and/or Harrison Lazarus Advisors, Inc.;
- **To service Client's accounts**, such as by issuing checks and account statements;
- **To comply** with Federal, State, and Self-Regulatory Organization requirements;
- **To keep client informed** about financial services of interest to you.

**Advisor Security Policy:** Advisor restricts access to nonpublic personal information about Client to those individuals who need to know that information to provide products or services to Client and perform their respective duties. Advisor maintains physical, electronic, and procedural security measures to safeguard confidential client information.

**Closed or Inactive Accounts:** If Client decide to close Client's account(s) or become an inactive customer, Advisor's Privacy Policy will continue to apply to Client.

**Complaint Notification:** Please direct complaints to: Harrison Lazarus Advisors, Inc., 64 Pleasant Street, San Francisco, CA 94108, (415) 830-5244 or [admin@harrisonlazarus.com](mailto:admin@harrisonlazarus.com).

**Changes to This Privacy Policy:** If Advisor makes any substantial changes in the way Advisor uses or disseminates confidential information, Advisor will notify Client. If Client have any questions concerning this Privacy Policy, please contact Advisor at: Harrison Lazarus Advisors, Inc., 64 Pleasant Street, San Francisco, CA 94108, (415) 830-5244 or [admin@harrisonlazarus.com](mailto:admin@harrisonlazarus.com).

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