



# DMK Advisor Group, Inc. Privacy Policy

(January 1, 2020)

**L**ike most industries today, the financial services industry is rapidly being shaped by technology, which is literally changing the way we do business. To be successful in this environment, we must continue to ensure that our customers are confident that we will manage their financial affairs expertly and confidentially.

At DMK Advisor Group, Inc. ("DMK"), our customers have access to a broad range of products and services from stocks and bonds, mutual funds, municipal, government and corporate bonds, unit trusts, REIT's (Real Estate Investment Trusts), annuities and both fee-based and commission-based, discretionary and non-discretionary accounts.

To deliver these products and services as effectively and conveniently as possible, it is essential that we use various forms of technology to manage and maintain certain customer information.

Safeguarding your confidential, personal information is a fundamental responsibility that we take seriously. To affirm our continuing commitment to the proper use of customer information, we have set forth the following guidelines that ensure that the confidentiality of your personal information is protected.

## RECOGNITION OF A CUSTOMER'S EXPECTATION OF PRIVACY

At DMK, we believe the confidentiality and protection of customer information is one of our fundamental responsibilities. While information is critical to providing quality service, we recognize that one of our most important assets is our customers' trust. Therefore, the safekeeping of customer information is a priority at DMK.

## COLLECTION, USE AND RETENTION OF CUSTOMER INFORMATION

DMK limits the use, collection and retention of customer information to that information we believe is necessary, or useful, to conduct our business, provide

quality service and offer products, services and other opportunities that may be of interest to and suitable for our customers.

## MAINTENANCE OF ACCURATE INFORMATION

DMK recognizes that it must maintain accurate customer records. Therefore, the Firm has established procedures to maintain the accuracy of customer information and to keep such information current and complete. These procedures include responding to requests to correct inaccurate information in a timely manner.

## LIMITING EMPLOYEE ACCESS TO INFORMATION

Employee access to personally identifiable customer information is limited to those with a business reason to know such information. Employees are instructed on the importance of maintaining the integrity of all confidential, non-public personal and financial information for all DMK customers.

## PROTECTION OF NON-PUBLIC INFORMATION

DMK recognizes that a fundamental element of maintaining effective customer privacy procedures is to provide reasonable protection against the unauthorized access to customer information. Therefore, the Firm has established appropriate security standards to limit access to customer information.

## DISCLOSURE OF NON-PUBLIC PERSONAL INFORMATION

**DMK does not disclose personal information about our customers, or former customers, to anyone, with the exception of regulatory or law enforcement agencies as required by law.**

DMK reserves the right to change the Privacy Policy at any time, without prior notice. Customers who have questions about the Firm's Privacy Policy should call Stephen Kohn at (303) 996-5680 or email [stephen.kohn@dmkadvisorgroup.com](mailto:stephen.kohn@dmkadvisorgroup.com).