

COLONY PARK FINANCIAL SERVICES, LLC  
Member FINRA, SIPC, MSRB  
4350 Georgetown Square – Suite 757  
Dunwoody, GA 30338  
(770) 886-3993

## Privacy Policy and Practices of Colony Park Financial Services, LLC

(also defined as we, our, and us)

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### GENERAL POLICY

We value your trust. We are committed to the responsible:

- management;
- use; and
- protection

of **Personal Information**.

This notice describes how we collect, disclose, and protect **Personal Information**.

### COLLECTING PERSONAL INFORMATION

We collect **Personal Information** to:

- service your **Transactions** with us; and
- support our business functions.

We may obtain **Personal Information** from:

- **You**;
- your **Transactions** with us;
- your registered representative;
- other financial services companies; and
- third parties such as a consumer-reporting agency.

Based on the type of product or service **You** apply for or get from us, **Personal Information** such as:

- your name;
- your Social Security Number or other tax identification number;
- your address;
- your income;
- your payments; or
- your credit history

may be gathered from sources such as applications, **Transactions**, and consumer reports.

### WE DO NOT SHARE YOUR PERSONAL INFORMATION – GENERAL

We will not sell or share your **Personal Financial Information** with anyone for purposes unrelated to our business functions without offering **You** the opportunity to:

- “opt-out;” or
- “opt in;”

as required by law.

### HOW WE SHARE YOUR PERSONAL INFORMATION – SPECIAL SITUATIONS

We recognize your right to select a financial services registered representative to provide brokerage, investment advisory and insurance products and services. In connection with the transfer of your representative’s registration to another firm, your **Personal Information** may be shared with your representative and his (or her) new firm. All books and records containing your personal information will be retrieved from the branch and secured at the Home Office OSJ.

The **Personal Information** to be shared may include:

- Your **Personal Information** in the custody of your representative; and
- Other **Personal Information** necessary to transfer your account, including
  - your name;
  - your Social Security Number or other tax identification number;
  - your address;
  - your income;
  - your telephone number;
  - your email address;
  - your account numbers and types; and
  - your **Transactions**.

In addition, in the event your registered representative (or his/her estate) agrees with an unaffiliated representative to sell all or some portion of his/her securities, advisory or insurance business, your **Personal Information** may be shared with the acquiring representative and his/her financial services firm.

**You** may prevent any disclosure of your **Personal Information** by instructing Colony Park Financial and our representative to not provide your **Personal Information** in these instances by notifying us in writing at the following address: Colony Park Financial Services, LLC, 4350 Georgetown Square – Suite 757 Dunwoody, GA 30338. **You** may prevent this disclosure now or at any later time. In addition, **You** may write to us at the same address to revoke or withdraw your instruction to not share your **Personal Information** in these instances.

Opt-out States. If **You** live in a state that permits you to opt-out (or, prevent) disclosure of your **Personal Information**, and you do not wish your representative to take your data if he/she should sell

## Privacy Policy and Practices of Colony Park Financial Services, LLC *continued*

his/her securities business to an unaffiliated representative or transfer his/her securities registration to another firm, you have the right to opt out of such disclosure. If you wish to prevent sharing of your **Personal Information**, please call (866)-262-2946 or (770) 886-3993.

Opt-in States. If **You** live in a state which requires a financial institution to obtain your affirmative consent to authorize sharing your **Personal Information**, we will seek your written instruction to authorize disclosure of your **Personal Information** before that data is shared.

### Miscellaneous

Our employees have access to **Personal Information** in the course of doing their jobs, such as:

- reviewing **Transactions**;
- servicing your accounts;
- developing new products; or
- advising customers of our products and services.

We use manual and electronic security procedures to maintain:

- the confidentiality; and
- the integrity of

**Personal Information** that we have. We use these procedures to guard against unauthorized access.

Some techniques we use to protect **Personal Information** may include:

- secured files;
- user authentication;
- encryption
- firewall technology
- the use of detection software.

We are responsible for and must:

- identify information to be protected;
- provide an adequate level of protection for that data; and
- grant access to protected data only to those people who must use it in the performance of their job-related duties.

**You** may request a written copy of our current complete Privacy Policy or access it on our website [www.colonyparkfinancial.com](http://www.colonyparkfinancial.com)

We will also give **You** a copy of our Notice of Privacy Policy once a year if **You** maintain a continuing business relationship with us. We will continue to follow our Privacy Policy regarding **Personal Information** even when a business relationship no longer exists between us.

### DEFINITIONS

**Application** means your request for our product or service.

**Personal Financial Information** means financial information such as:

- credit history;
- income;
- financial benefits; or
- policy or claim information.

**Personal Information** means information that identifies **You** personally and is not otherwise available to the public such as:

- Personal Financial Information

**Transaction** means your business dealings with us, such as:

- your **Applications**;
- your request for us to service your account; and
- your request to enter into a securities, investment advisory or insurance transaction

**You** means an individual who has given us **Personal Information** in conjunction with:

- asking about;
- applying for; or
- obtaining

a financial product or service from us.