

## CLIENT PRIVACY NOTICE

Your trust is of utmost importance to Jay A. Fishman, Ltd. (herein “JAF” and “We”). We continuously strive to maintain your confidence. Protecting the privacy of our clients, as well as their confidentiality, is our priority and a principle we have strictly adhered to since inception. The policies we adhere to on a daily basis and our undivided loyalty to our clients demonstrate our commitment to your financial privacy. JAF recognizes that the foundation of our business is the trust and confidence of our clients. Pursuant to the Securities and Exchange Commission (SEC) Regulation S-P: Privacy of Consumer Information, which applies to all financial institutions that are subject to the jurisdiction of the SEC, including Investment Advisors, the following information is provided to you. This notice is to inform you how we collect information about you, the type of information we collect, what we disclose to banking and brokerage firms that serve as account custodians, and the steps we take to protect your personal information.

### **How we collect the nonpublic personal information:**

- Information we receive from you on applications or other forms, which includes your name, address, date of birth, social security number, marital status, assets and financial statistics.
- Information about your financial transactions and activities.

### **How we control the nonpublic personal information collected:**

- JAF continually and thoroughly trains all employees as to privacy and security matters. Every employee is required to execute an Employee Confidentiality Agreement and conduct business under our strict Code of Ethics. To ensure that clients’ sensitive information remains private, all employees are held to high standards in adhering to established protocol.
- JAF protects clients’ accounts in numerous ways. Electronically, all files are secure with our innovative encryption technology. We continuously update our operating and security systems to provide multiple levels of protection. Physically, our files remain secure on the premises. JAF also has a strict policy regarding destroying documents to an unrecoverable state. Procedurally, JAF’s Continuity Plan includes alternate physical locations for client communications and system backups. We regularly test all policies to ensure effectiveness should an actual event occur.
- We share nonpublic personal information about you outside our company ONLY as directed or authorized by you, or as required or permitted by law.

We will notify you of any material or policy change(s) within our company. If you choose to close your account(s) or become an inactive client, we will adhere to the policies and practices described in this notice.

By maintaining our commitment to these principles, we ensure you that we respect the inherent trust that you place in Jay A. Fishman, Ltd.

With the aging of the U.S. population, financial exploitation of seniors is a serious and growing problem. Regulators strongly encourage you to provide us with your trusted contact, someone that you authorize us to contact in the event we ever suspect you are the victim of exploitation. We would also reach out to a trusted contact if we suspect that you may be suffering from dementia or other forms of diminished capacity. Please contact us to discuss adding a trusted contact to your accounts. By adding a trusted contact you are authorizing us to contact this individual and disclose information about your account to address possible financial exploitation, to confirm the specifics of your current contact information, health status, or the identity of any legal guardian, executor, trustee or holder of a power of attorney, or as otherwise permitted by [FINRA Rule 2165](#)