



DEMPSEY LORD SMITH, LLC

MEMBER FINRA/SIPC

Privacy Policy January 2018

Protecting your Privacy and Security

At Dempsey Lord Smith, LLC, Your privacy is our priority.

We collect personal information to open your account(s), to process your transactions and to help us provide a better level of service. We do not sell your personal information to anyone. We protect the security and confidentiality of the personal information we collect.

Our relationship with you is our most important asset. We understand that you have entrusted us with your private financial information, and we do everything we can to maintain that trust. The following are details of our approach to privacy.

The Dempsey Lord Smith, LLC Privacy Policy

The Dempsey Lord Smith, LLC Privacy Policy applies to consumers who are current or former clients. Throughout the policy, we refer to information that personally identifies you or your accounts as “personal information”.

We do not sell your personal information to anyone.

We do not disclose personal information to third parties, unless one of the following limited exceptions applies.

- We disclose personal information, such as account and transaction data, to companies, including financial institutions that contract with us to manage portfolios, execute transactions, or act in a custodial capacity, etc. We have contracts with these companies that prohibit them from using your personal information for their own purposes.
- We may disclose personal information to companies that help us process or service your transactions of account(s), including companies that print and mail you account statements.
- We may disclose or report personal information, in limited circumstances namely when a good faith disclosure is required by law. (For example: to cooperate with regulators or law enforcement authorities, resolve consumer disputes, perform credit/authentication checks, or for institutional risk control).

Outside of these exceptions, we will not share your personal information with third parties unless you have specifically asked us to do so.

We do collect personal information in the normal course of business in order to administer your accounts and serve you better.

- Application and registration information. We collect information that you provide to us when you open an account, make application to or through Dempsey Lord Smith, LLC for the purchase of a securities product or service, or register for one or more of our services such as financial analysis or seminars. The information we collect may include name, address, phone number, e-mail address, Social Security Number, financial information, and information about your

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901 N Broad Street, Suite 400, Rome Georgia 30161
706-238-9575

investment desires and experience. We also may collect information from consumer reporting agencies.

- Transaction Information. Once you have an account with us, to administer your account and better serve you, we collect and maintain personal information about your transaction, including balances, positions, and history, and may include your name or other data in an internal client list reflective of your activities at Dempsey Lord Smith, LLC, and with outside contracted providers.
- **We use your personal information to fulfill our regulatory obligation and to help us deliver the best possible service to you.**
- Dempsey Lord Smith, LLC is required by its various regulatory authorities such as the U.S. Securities Exchange Commission (SEC), Financial Industry Regulatory Authority (FINRA), and state jurisdictions to collect, review, and maintain certain personal information such as investment history, financial data, employment history, etc. in order to fulfill various regulatory requirements.

We protect the confidentiality and security of your personal information.

- Companies we hire to provide support services are not allowed to use your personal information for their own purposes and are contractually obligated to maintain strict confidentiality. We limit their use of your personal information to the performance of the specific service we have requested.
- We restrict access to personal information to select employees and agents who have a need for such information for business purposes only. All such employees are trained and required to safeguard such information.
- We maintain physical, electronic, and procedural safeguards to guard your personal information.

We continue to evaluate our efforts to protect personal information and make every effort to keep your personal information accurate and up-to-date.

- If you identify any inaccuracy in your personal information, or you need to make a change to that information, please contact us so that we may promptly update our records and better serve you.

We will provide notice of changes in our information-sharing practices.

- If at any time in the future, it is necessary to disclose any of your personal information in a way that is inconsistent with this policy, we will give you advance notice of the proposed change so that you will have the opportunity to opt out of such disclosure.

If you have any questions or concerns, please contact us by email at Service@dempseyi.com, or call us at (706) 238-9575.

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