

FACTS: What does Herold Advisors, Inc. do with your personal information?

Why? Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.

What? The types of personal information we collect and share depend on the product or service you have with us. This information can include:

- Social Security number and income
- Account balances and investment experience
- Employment info and Wire transfer instruction

When you are *no longer* our customer, we continue to share our information as described in this notice.

How? All financial companies need to share some personal information to run their everyday business. In the section below, we list the reasons financial companies can share some personal information; the reasons Herold Advisors, Inc. chooses to share: and whether you can limit this sharing.

Reasons we can share your personal information:	Does Herold Advisors, Inc. share?	Can you limit this sharing?
For our everyday business purposes – such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus.	Yes	No
For our marketing purposes – to offer our products and services to you.	Yes	No
For joint marketing with other financial companies.	No	NA
For our affiliates' everyday business purposes – information about your transactions and experiences	Yes	No
For our affiliates' everyday business purposes – information about your creditworthiness	NA	NA
For non-affiliates to market to you	No	No
Who we are		
Who is providing this notice?	Herold Advisors, Inc.	
What we do		
How does Herold Advisors, Inc. protect my personal information?	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.	
How does Herold Advisor, Inc. collect my personal information?	We collect your personal information when you open an account.	
Why can't I limit all sharing?	Federal law gives you the right to limit only sharing for affiliates' everyday business purposes-information about your creditworthiness Affiliate from using your information to market to you Sharing for non-affiliates' to market to you State laws and individual companies may give you additional rights to limit sharing	
Definitions		
Affiliates	Companies related by common ownership or control. They can be financial and non-financial companies. Bernard Herold & Co., Inc. Herold Insurance Agency, Inc.	
Non-affiliates	Companies not related by common ownership or control. They can be financial and non-financial companies. Herold Advisors, Inc. does not share with non-affiliates so they can market to you.	
Joint marketing	A formal agreement between non-affiliated financial companies that together market financial products of services to you. Herold Advisors, Inc. does not jointly market.	