

Westrock Advisors, Inc.

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Privacy Policy

In opening and servicing customer accounts, Westrock Advisors Inc, needs to collect certain kinds of personal information. Identifying information such as your name, address, telephone number and Social Security number, as well as, application information about your assets, income, investment goals, risk tolerance and transactional information such as account activity information is required to conduct business. Westrock Advisors will use personal information in ways that are in accord with the purposes for which we originally requested it. For example, we will use the information you provided us to process your requests and transactions, to provide you with additional information about products and services, or to evaluate your financial needs. We may share name and address and other identifying information as well as securities owned with Westrock Advisors' clearing firm; National Financial Services (NFS). We limit the collection and use of personal information to what is necessary to administer our business and to deliver our service to you. This may include advising you about our products and services and other opportunities that we believe may interest.

Westrock Advisors Inc. will not share information with others except as stated in this policy, unless we give you additional notice or ask your permission. Westrock Advisors Inc. reserves the right to disclose the personal information in certain circumstances: (1) to Westrock's clearing firm, as Westrock deems necessary or appropriate, to handle, process, and clear transactions in accounts. (2) where we believe in good faith that disclosure is required under law, to cooperate with regulators or law enforcement authorities, (3) to perform necessary credit checks or collect or report debts owed to us, (4) to protect rights or property, or (5) upon reasonable request by a mutual fund or relating to other investments in accounts in your account. Otherwise only management, staff, and the servicing registered representative have access to customer information.

Customer deposits and withdrawals are executed thru secure communications with operations departments of National Financial Services. Online account access is encrypted and provided by National Financial Services. Customer name and address and identity information and or any consumer information is shredded prior to discard. Mail collection and distribution is handled by our operations staff only. Any suspicion of identity theft will be promptly referred to the proper authorities including the Securities and Exchange Commission and or the Federal Trade Commission. Westrock Advisors Inc. does not sell personal information of customers, former customers or prospective customers.

Westrock will protect the confidentiality of any personal information you share with us. Westrock's corporate policies require that employees with access to confidential customer information may not use or disclose personal information except for business use. All employees are required to safeguard such information.

Westrock Advisors strives to improve our efforts to protect personal information and make every effort to keep your personal information accurate and up-to-date. If you identify any error in your personal or need to make any changes to that information, please contact us and we will promptly update our records. You have the right to limit when we may share information about you, or “opt-out” of portions of this policy. To find out more about the opt-out clause and/ or you have any questions or concerns, please contact the Compliance Department, at 800-325-6195.