



Privacy Policy

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At **Abner, Herrman & Brock LLC** we recognize and respect the importance of maintaining the privacy of our clients and the users of our website. Below we describe why we gather customer information, what information we collect, how we collect it, what we use the information for and how you can instruct us if you prefer to limit the use or disclosure of that information. **We maintain very strict privacy and security standards for our clients that were created to protect your personal information.** We apply the same rules to former customers as current customers.

Why Do We Gather Information? We gather personal information about you to allow us to provide an enhanced and personalized investment experience, to provide you with information about us, as well as to comply with securities and other laws.

What Types Of Personal Information Do We Gather? We collect nonpublic personal information about you from the following sources: (i) the account application and other forms that you complete with **Abner, Herrman & Brock LLC** for any of our services; (ii) any information you give us in any other way or enter on our website, including information about your transactions and experiences with us; (iii) information (if any) we receive or collect from other sources, such as a consumer reporting agency.

How We Protect Information: We restrict access to nonpublic personal information about you to those employees with a legitimate business need for the information. Our employees are required to protect the confidentiality of information and to comply with our established policies. They may access information only when there is an appropriate reason to do so, such as to administer our services. We also maintain physical, electronic and procedural safeguards to protect information which comply with all applicable laws.

How We Use Or Disclose Information We Collect About You: **Abner, Herrman & Brock LLC** does not disclose any nonpublic personal information about you or any of our former customers to anyone (other than to our broker/dealer subsidiary, which abides by, and is subject to the same limitations with respect to the sharing of information contained in this privacy policy), except as permitted by law. We limit the collection and use of your information to the minimum we require to deliver our services to you.

Former Customers: Even if you are no longer a customer of **Abner, Herrman & Brock LLC** our Privacy Policy will continue to apply to you.

Your Consent And Changes To This Policy: Subject to the above provisions, you acknowledge that this privacy policy is part of our Legal Terms Agreement and you agree to be bound by all of its terms and conditions. If we decide to change our privacy policy, we will inform our client's in writing.

Further Information: We reserve the right to change this Privacy Policy. This notice complies with a recently enacted Federal law and new SEC regulations regarding privacy. You may have additional rights under other foreign or domestic laws that may apply to you.

AHB appreciates the opportunity to be of continued service and we will make every effort to fulfill the indicated confidence you have placed in our firm.