



Privacy Policy

2026

Abner, Herrman & Brock (AHB) recognizes that our relationships with current and prospective clients are based on integrity and trust. We work hard to maintain your privacy and are very careful to preserve the private nature of our relationship with you. We believe that all our clients value their privacy, so we will not disclose your personal information to anyone unless it is required by law, at your direction, or is necessary to provide you with our services. We adhere to the same high standards to protect nonpublic personal information regarding our former clients as we do for our current clients. We have not sold, and will not sell, your personal information at any time.

Why We Collect Your Information

We gather information about you and your accounts so that we can design and implement the investment-related services we provide you; design and improve the services and products we offer; and comply with the laws and regulations that govern us. This information may be provided to by you or obtained by us with your authorization.

What Information We Collect and Maintain

The types of “nonpublic personal information” that we commonly collect include, but are not limited to: Information from our initial meeting and subsequent consultations about your identity, such as your name, address, social security number, and financial information (income and assets); information that we generate to service your account (such as trade tickets and account transactions); and information that we receive from third-parties with respect to your accounts (such as trade confirmations from brokerage firms and custodial account information).

AHB may aggregate data about visitors to our website to improve its design and content. This includes, but is not limited to, how many people visit the site, which pages they visit, and what browser and operating system they use. We may also use cookies (a cookie is a small text file stored on your computer) for session management or to analyze site usage. By visiting our website, users consent to the use of cookies, but if at any time you wish to withdraw your consent for cookie usage then please delete the cookies generated by our website from your browser.

What Information We Disclose

We are permitted by law to disclose nonpublic personal information about you to unaffiliated third parties in certain circumstances, including for everyday business purposes. For example, for us to provide investment management services to you, we disclose your personal information in limited circumstances to various service providers, such as brokers and custodian banks. Otherwise, AHB will not disclose any personal information about you or your account(s) unless one of the following conditions is met: we receive your prior written consent; the recipient is your authorized representative; or we are required by law to disclose information to the recipient. Companies not affiliated with AHB with whom we share your information will be subject to confidentiality agreements. When you are no longer our customer, we may continue to share your information as described in this notice.

How We Protect Your Personal Information

Privacy has always been important to AHB. We restrict and limit employee access to client information only to those who need it to carry out their business functions. We educate our employees about safeguarding client information and preventing its unauthorized access, disclosure or use. We also maintain physical, electronic and procedural safeguards to protect your nonpublic information which include proper oversight and resources dedicated to risk identification, protection, detection and incident response procedures.