

Nestlerode & Loy, Inc. Privacy Policy

Dear Valued Client:

Confidentiality is a primary concern of ours at Nestlerode & Loy, Inc. You have been asked to provide us with personal information such as your name, address, social security number, date of birth, employer, financial information, investment experience, etc. We keep and maintain all account activity in both paper and electronic form. We may, on occasion, collect personal information from outside sources including consumer reporting agencies and federal sources and through the CRD system if you are, or have ever been, associated with the securities industry.

In every instance, this information is provided to ensure that we are making the best possible investment choices for you.

Everyone associated with Nestlerode & Loy, Inc. is committed to protecting your personal information. It is our policy not to disclose nonpublic information to anyone not associated with us, except as required by law, and we do not sell our client list. Under certain circumstances, as permitted by law, we will provide your non public information to our clearing company, RBC Dain Rauscher. You may obtain a copy of their privacy policy at www.rbcdain.com.

In all circumstances, Nestlerode & Loy, Inc will take reasonable measures to ensure the privacy of your personal information. We maintain physical, electronic, and procedural safeguards that comply with Federal and State regulations to safeguard your information from unauthorized use or improper access.

As always, any questions or concerns regarding this or any other procedure can be directed to us at (814) 238-6249 or toll free at (800) 922-7492.

In addition, in accordance with a National Association of Securities Dealers, Inc. (NASD) Investor Education and Protection Rule, we are providing the following information:

- The NASD Regulation Inc. Public Disclosure Hotline number is (800)289-9999
- The NASD Regulation Inc. Internet website address is www.nasdr.com

A copy of an investor brochure that includes information concerning the NASDR Public Disclosure Program can be obtained online or by calling the Public Disclosure Hotline.

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