



**PROGRESSIVE ASSET MANAGEMENT NOTICE
OF PRIVACY POLICY
AND FINRA PUBLIC DISCLOSURE STATEMENT**

Dear Valued Client:

Progressive Asset Management considers the confidentiality of client information a top priority. At this time, we want you to know how we protect personal information we obtain from you or other sources in the course of providing you with products and services.

Most, if not all, the personal information that we have about you comes directly from you.

It is our policy not to disclose any personal information to non-affiliates who might use your personal information to contact you about their own products and services. We educate our employees to protect your personal information. At Progressive Asset Management, your personal information is available only to those individuals who are involved in servicing your needs. In addition, Progressive Asset Management maintains physical, electronic, and procedural safeguards that comply with applicable laws and regulations to protect your personal information.

Under certain circumstances, we may, as permitted by law, provide personal information to our service providers, regulatory or governmental entities, or other entities at your instruction, such as National Financial Services LLC, our clearing firm. A copy of their privacy policy may be found at <http://www.nationalfinancial.com>. In all circumstances, Progressive Asset Management will take reasonable measures to ensure the privacy of your personal information.

Finally, should your relationship with Progressive Asset Management end, your personal information will remain protected in accordance with our privacy policies as outlined in this notice.

You may ask to see or obtain a copy of any personal information we have in our records. If any of the information is believed to be incomplete or inaccurate, you may request that we make any necessary and appropriate changes. Please send any requests to:

Progressive Asset Management
Attn: Privacy Policy Department
1814 Franklin Street, Suite 503
Oakland, CA 94612

We hope that you have found this information helpful. If you have any questions or would like more information, please don't hesitate to contact us.

In accordance with the Financial Industry Regulatory Authority (FINRA) Investor Education and Protection Rule, we are providing the following information:

- The FINRA Public Disclosure Hotline telephone number is (800)289-9999
- The FINRA Internet Web site address is <http://www.finra.org>

A copy of an investor brochure that includes information concerning the FINRA Public Disclosure Program can be obtained by calling the Public Disclosure Hotline or keying in on the FINRA Web site.

Securities Investor Protection Corporation (SIPC) - You may obtain information about SIPC, including the SIPC brochure, by contacting SIPC by either of the following two methods:

- SIPC's Web Site: www.sipc.org OR
- SIPC's telephone number: (202) 371-8300