

Privacy Statement - Elderado Financial

Reviewed January 6, 2017

We Respect Your Privacy

Protecting your privacy and the confidentiality of your personal information has always been fundamental within Elderado Financial Inc. (EFI) whether we do business with you in our office, over the phone, or through the Internet. We strive to provide you with the best customer service. To us, that includes treating you with respect and keeping your information secure. All employees of EFI are aware of the procedures that must be taken to safeguard client information. We specify in our employee training and regularly confirm in writing our commitment to confidentiality. Procedures are in place that protect client information.

How We Gather Information

For the most part, EFI only collects non-public personal information about you that you or your financial service providers have given us. For example, when you fill out an application, call us with questions or otherwise make an inquiry, you provide us with information about yourself. We also receive information about you as part of the normal administration of your account, such as from account changes, legal documents, or government notices. The personal information we collect includes items such as your name, social security number, address, assets, income and date of birth. We also maintain records about your account transaction history.

We May Provide Information To Service Your Account

We maintain your information at EFI and share your information with our custodian, TD Ameritrade, to enable the servicing of your TD Ameritrade accounts. Under no circumstances do we sell customer lists or information to others. We may release your information to parties outside EFI and TD Ameritrade only under the following circumstances:

1. For servicing purposes, we give a limited amount of information, only as necessary, when consulting with your financial service providers to research and find solutions to your investment needs. This may include your attorneys, your accountants and your bankers.
2. When required or permitted by law, we must give information in response to a valid demand, search warrant or other legally valid inquiry or order. We may disclose information to the authorities to serve a clear public interest and fulfill our public duty - such as to protect against fraud, money laundering or other criminal activity.

Protecting Your Personal Information

We will make reasonable efforts to keep your information accurate and up-to-date. Having accurate information about you enables us to give you the best possible service. Allowing us to share your information within EFI and TD Ameritrade means updates to your information can be made once and be effective for all the products and services you have with TD Ameritrade.

You can help by keeping us informed of any changes such as if you move or change telephone numbers. If you find any errors in our information about you, let us know and we will make the corrections immediately and make sure they are conveyed if necessary to TD Ameritrade.

We will give you access to the information we have about you. Most of this information is in the form of your transaction records. These are available to you through your account statements, or by requesting via telephone, email, or mail.

Former Clients

This privacy policy will continue to apply if you become a former client (i.e. your account closes) or if your account becomes inactive.

For More Information

If you have questions about our privacy policy, you can contact us locally at 970-249-9900, toll free at 877-422-4770, or email info@elderadofinancial.com.

Business Continuity Plan - Elderado Financial

Reviewed January 6, 2017

While Elderado Financial, Inc. makes every effort to avoid business disruptions, it is reasonable and prudent to guard against potential disruptions and prepare plans that will enable the firm to recover from such disruptions and resume business functions. We have developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur.

Contacting Us

If after a significant business disruption you cannot contact us as you usually do at (Toll Free) 877-422-4770, (Local) 970-249-9900 or [email info@elderadofinancial.com](mailto:info@elderadofinancial.com), you may also call us at our off site voicemail 970-252-3939. If you still cannot access us for your account information and to process transactions, you should contact our brokerage firm, TD Ameritrade, PO Box 919094, San Diego, CA 92191-9094; or 800-934-4448, or login with your current user id/password to www.advisorclient.com.

Our Business Continuity Plan

We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm's books and records, and allowing our clients to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data back up and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-parties; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

We backup all important electronic records to geographically separate data centers daily. Key paper records are scanned and the electronic files stored off site on a regular basis. Our brokerage firm, TD Ameritrade, also backs up account statements and confirmations in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, our brokerage firm has advised us that its objective is to immediately transfer operations so that our clients can continue to access their accounts through the internet, by telephone, or at a local branch office

Varying Disruptions

Significant business disruptions can vary in their scope, such as only our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within twenty-four hours. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business within forty-eight hours. In either situation, we plan to continue in business, transfer operations to our brokerage firm if necessary, and notify you via email or by phone how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our client's prompt access to their funds and securities.

For more information

If you have questions about our business continuity planning, you can contact us locally at 970-249-9900, toll free at 877-422-4770, or email info@elderadofinancial.com.