



Kaiser and Company

Investment Services • Investment Banking

PRIVACY STATEMENT

Our Company - Kaiser and Company is an independent broker-dealer and investment banking firm. Its affiliate Kaiser Wealth Management is a registered investment adviser (further jointly referred to as the Firm). Through our representatives we provide financial products and services to the general public. We recognize the importance of protecting the confidentiality of nonpublic personal information. Therefore, we are providing you with this privacy policy to describe how we collect information about you, under what circumstances we may disclose the information to others, and how we safeguard your information in our possession.

Information We Collect - We collect and use information about you in order to provide you with our financial products and services. We use your information to determine the suitability of our investment recommendations. We obtain most information directly from you upon account opening. We may also obtain information about you from our representatives and/or third parties including but not limited to retirement plan sponsors, mutual fund companies, insurance companies, clearing firms, or others who may have provided you with financial products or services.

Information We Disclose - We do not disclose any nonpublic personal information about our existing clients and former clients to anyone outside of our own staff, representatives, and third parties who provide you with financial products and services. This policy applies to each division within The Firm regardless of not being covered under the Financial Privacy Laws. We do not sell your information to any third parties unaffiliated with our firm unless as permitted by law. If you close your account or if your representative elects to change broker-dealers, your representative will be permitted to retain copies of your non-public personal information to assist with the timely transfer of your account and to continue to serve you at the new firm. The representative's continuing use of your information will be subject to the new firm's privacy policy. If you do not want your financial advisor to transfer this information, please contact The Firm's headquarters at (888) 379-4146 or by mail at the address identified below to opt out of this information sharing.

Security Standards - Our staff, representatives, and affiliates who have access to your information are required to follow procedures reasonably designed to keep your information secure and confidential. Our physical, electronic, and procedural safeguards have been designed to protect your information against disclosure to unauthorized parties.

Maintaining Accurate Information - We strive to maintain complete and accurate information about you and your accounts. If you find that our records contain inaccurate or incomplete information about you, please contact us immediately at (888) 379-4146.

Inquiries may be directed to Kaiser and Company headquarters
6101 Yellowstone Road, Suite 100
Cheyenne, Wyoming 82009
Phone (307) 432-4146 Fax (307) 634-1546
www.kaiserinvest.com