

At Dougherty Insurance Agency LLC client trust is important to us. The safeguarding and respect of your financial and personal information is taken very seriously. In order to maintain that trust, we pledge to protect your privacy by striving to adhere to the policy outlined below.

What type of information do we collect?

In order to provide quality service, Dougherty Insurance Agency LLC collects public and nonpublic personal information. The information we obtain is limited but may come to us through the following sources:

- Data we receive from you for applications or other forms, whether in writing or electronic transmission. This data could include, but is not limited to your income, net worth, social security number(s), driver license number(s) and address.
- Information such as credit worthiness and credit history we receive from credit bureaus or consumer reporting agencies.
- Data from other outside sources relating to their relationship with you that verifies representations made by you.

Restrictions on the Disclosure of Personal Information

- There may be times when such information is provided to our affiliates as is needed to conduct our business. For example, it may be provided: 1) to enable us to receive services related to compliance matters; 2) to receive legal advice; 3) for accounting purposes; 4) as required by law, we do not disclose nonpublic personal information about you to nonaffiliated third parties except as permitted by law. We do not provide any other businesses with information specific to accounts maintained at Dougherty Insurance Agency LLC for the purpose of marketing or business leads. We do not provide current or former customer names and financial information to any outside firms, persons or organizations unless: 1) there is a preexisting relationship you have established (i.e. attorney, accountant); 2) we have a legal or regulatory obligation to provide such information; 3) you have provided authority for us to do so in order to conduct everyday business. For example: As part of our process to give you a quote for your various insurance needs, we will ask for your name, address, date of birth, driver's license, social security number, and other information that will allow us, and insurers, to identify you, and to verify claims and offense data. Dougherty Insurance Agency will submit your application, on your behalf, to third party insurers. Except where legally permitted, insurers may review your applications using an insurance score developed from credit or other consumer reports. If you have recently encountered and extraordinary life event directly influencing a consumer report, you may ask insurers for an exception because of that extraordinary life event. Insurers may use a third party vendor to develop your insurance score.

Sharing with Affiliates for Marketing

We may share information with our affiliates for their marketing to you. This is defined as companies related by common ownership and control. They can be financial and nonfinancial companies. As an example, this includes Dougherty Wealth Advisers LLC and Dougherty & Company LLC. Federal law gives you the right to limit our affiliates from using your information to market to you.

To Limit our Sharing

To limit our sharing, send an email to optoutdia@doughertymarkets.com or write us at Dougherty Insurance Agency LLC, Attention: Privacy, 90 South 7th Street, Suite 4300, Minneapolis, MN 55402. Indicate what you wish to opt out of.

Questions? Call 1-800-328-4000 or go to <http://www.doughertymarkets.com>

The Confidentiality, Security, and Integrity of your Information

Personal information is protected in various manners. All employees are subject to a policy regarding client confidentiality. Employees who violate our Privacy Policy are subject to a disciplinary process. In addition, our internal systems are secured through encryption technology, passwords and physical safeguards. We strive to maintain the confidentiality of all personal information.