

## **Silvergrove Advisors LLC Policies**

The below policies are of Silvergrove Advisors LLC and its registered representatives (collectively, “Silvergrove”).

### **Privacy**

We recognize our obligation to keep information about clients secure and confidential. It is important for clients to know that we do not sell their information to anyone. We restrict access to non-public information about clients to those representatives and employees who need to know that information in order to provide our services, except as required by laws and regulations to provide such information to FINRA, the Securities and Exchange Commission, the State of New York and other states or regulatory agencies that oversee our activities. Only when permitted by clients, we may provide their non-public information to firms that assist us in providing services. We also maintain physical, electronic and procedural safeguards to protect clients’ non-public information.

### **Anti-Money Laundering Procedures**

To help the government fight the funding of terrorism and money laundering activities, federal law requires us to obtain, verify and record information that identifies each person or entity for which the firm provides services. This means that when clients begin doing business with us, we will ask for information that will allow us to properly identify clients. We may also request documentation concerning the legal formation of clients’ organizations.

### **Preparedness/Business Continuity Plan**

FINRA Rule 4370 requires that members and member firms establish and maintain business continuity and contingency plans relating to an emergency or significant business disruption. Silvergrove has developed a Business Continuity Plan for 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.

If after a significant business disruption you cannot contact us as you usually do, please call our alternative number: 917-882-3613. We have a plan in place to quickly recover and resume business operations after a significant business disruption and will 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.