



## Privacy Policy

### FACTS

What do NorthRock Partners, LLC and NorthRock Partners tax services, LLC do with your financial information?

### WHY?

Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.

### WHAT?

The types of personal information we collect and share depends on the product or service you have with us. This information can include:

- Social Security number and income
- Account balances and assets
- Transaction history
- Account access information
- Tax return information

### HOW?

All financial companies need to share customers' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' personal information; the reasons NorthRock Partners, LLC and NorthRock Partners Tax Services, LLC choose to share; and whether you can limit this sharing.

<b>Reasons we can share your personal information</b>	<b>Do we share information?</b>	<b>Can you limit this sharing?</b>
For our everyday business purposes – such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
For our NorthRock strategic partners – to offer additional products and services	Yes	Yes, only shared at your request
For our affiliates' everyday business purposes – information about your transactions and experiences	Yes	No
For our nonaffiliates' everyday business purposes – information about your creditworthiness	No	Not applicable

For our affiliates to market to you	Yes	No
For nonaffiliates to market to you	No	Not applicable

## QUESTIONS?

Call 612.367.8800

## WHO WE ARE

### Who is providing this notice?

NorthRock Partners, LLC and NorthRock Partners Tax Services, LLC.

## WHAT WE DO

### How do you protect my personal information?

To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards, secured files and building safeguards.

### How do you collect my personal information?

We collect your personal information, for example, when you:

- Open an account
- Deposit money
- Seek advice about your investments and tax filings
- Enter into an investment advisory contract
- Tell us about your investment or retirement portfolio or earnings

We also collect your personal information from other outside financial institutions or custodians that may work with you.

## DEFINITIONS

### Affiliates

Companies related by common ownership and control. They can be financial and nonfinancial companies. NorthRock Partners, LLC and NorthRock Partners Tax Services, LLC are affiliates.

### Nonaffiliates

Companies not related by common ownership and control. They can be financial or nonfinancial companies.

- We do not share with nonaffiliates so that they can market to you

### Strategic Partners

A formal agreement between nonaffiliated strategic partners that offer additional products or services.

- We only share information at your request

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