PRIVACY POLICY

RW Smith & Associates, Inc. is committed to maintaining the privacy and confidentiality of its customer accounts. We will never disclose customers' personally-identifiable information or make it available to affiliated or unaffiliated third parties for marketing purposes. If RW Smith makes any changes in the way we use or disseminate confidential information, we will notify you. If you are a former customer, your information is treated in the same manner as the information of current customers.

RW Smith may receive nonpublic, personal information about customers in the course of doing business, including social security number, date of birth, and financial information.
RW Smith allows access to nonpublic personal information of its customers for business purposes only. RW Smith requires employees who have access to customer information to protect it and keep it confidential.

RW Smith only shares non-public personal information with outside parties in the limited circumstances permitted by law. This includes affiliated and unaffiliated third parties that require access to your personal information in order to work on our behalf, including our clearing firm and data service providers. This also includes auditors, Federal and State regulators, and responses to other legal processes. Your personal information will be maintained during the time you are a customer and for at least the minimum time necessitated thereafter that such records are required to be retained by federal and state securities laws.

RW Smith partners with Southwest Securities for clearance and settlement of all securities transactions. In connection with these services, Southwest Securities is required to maintain and provide to you its own privacy policy, available on their website at http://swst.com.

If you have any questions or concerns regarding this Privacy Policy, or if you need to address a customer complaint, you can contact us via telephone at 206-420-7860 or via mail at 10940 NE 33rd Place, Ste. 102, Bellevue WA 98004.