

Privacy Notice



CATAWBA RIVER CAPITAL
— PRIVATE WEALTH MANAGEMENT —

Catawba River Capital was built on trust. When you become a client of ours, you not only entrust us with your assets but also with certain personal and financial data. We believe that this information is, and should remain, private and confidential. Our Privacy Policy is designed to help you understand how we strive to protect your nonpublic, personal information while providing you with the best possible service.

We collect and maintain nonpublic, personal information we receive from you directly, on applications, other forms and from your transaction with unaffiliated parties and us. This information includes, for example, your name, address, Social Security or tax identification number, assets, income, financial needs and goals and account balances, transactions, including transactions with unaffiliated parties. We use this information to process your requests and transactions, to provide you with additional information about the firm's products and services, or to evaluate your financial needs.

We do not disclose any nonpublic personal information about our customers or former customers to anyone, except as permitted or required by law, or as necessary to provide services to you. In accordance with Section 248.13 of Regulation S-P, we may disclose all of the information we collect, as described above, to certain nonaffiliated third parties such as attorneys, accountants, auditors and persons or entities that are assessing our compliance with industry standards. We enter into contractual agreements with all non-affiliated third parties that prohibit such third parties from disclosing or using the information other than to carry out the purposes for which we disclose the information.

We restrict access to nonpublic personal information about you to those Employees who need to know that information to provide financial products or services to you. We maintain physical, electronic, and procedural safeguards that comply with federal standards to guard your nonpublic personal information. We regularly evaluate our technology in an effort to ensure that the safeguards we have in place maintain a high level of security and confidentiality for your personal information.

If you have any questions about our Privacy Policy, please do not hesitate to contact us at 803-831-0911.