



# PRIVACY POLICY

**Koenig Investment Advisory, LLC** is required to communicate its position as it pertains to the privacy of customer information. We are committed to ensuring the privacy and confidentiality of information you provide to us, which enables us to provide the financial services you require. Please take a moment to review our privacy policy, as described below.

## HOW & WHY WE OBTAIN INFORMATION

In order to facilitate the servicing of your account, Koenig Investment Advisory, LLC may receive nonpublic personal information about you from any of the following sources:

- Your applications or forms (examples may include Social Security number, date of birth, assets and income) or from supporting documentation or correspondence.
- Transactions in your account (examples may include trading history and balances).
- Other sources with your consent or with the consent you give to your representative (e.g., from other institutions if you transfer positions or assets into our clearing firm).

## HOW WE PROTECT YOUR INFORMATION

When we receive information regarding your account, we do make a hard copy and keep this in your file for at least 5 years. Outdated information is ALWAYS run through a shredder. No documents with personal information are put in either the garbage or recycling bin without first being shredded.

Within Koenig Investment Advisory, and among our service providers, we restrict access to your information to those who require that access in order to provide products and services to you. We may share the personal information that we collect about our customers, prospects or former customers with:

- Unaffiliated service providers (for example, our clearing firm and its affiliated entities, our data processing provider and securities clearinghouses) as necessary to complete your transactions. This would include, but not be limited to, TD Ameritrade, Charles Schwab, client chosen custodians, and would be limited to the data they need in order to properly service your account(s).
- Government agencies and law enforcement officials (for example, for tax reporting or under court order).
- Other organizations, as required by the laws that protect your privacy (such as for fraud prevention).
- Other organizations, as directed by you (for example, if you request personalized performance reporting, coordination with a CPA or attorney, etc.).

If you are a former customer, your information is treated in the same manner as the information of current customers. Please note that our brochure containing all information required on form ADV part II is available upon request.