

Our Privacy Statement

Mulligan Capital, Inc. is an independent Investment Advisory firms; committed to safeguarding the confidential information of its clients. We do collect personal information in order to open and administer your account with us and to provide you with accurate and pertinent advice. We hold all personal information provided to us in the strictest confidence. We do not disclose information to non-affiliated third parties, except as permitted by law, and do not anticipate doing so in the future. If we were to anticipate such a change in firm policy, we would be prohibited under the law from doing so without advising you first. As you know, we use financial information that you provide to us, to help you meet your personal financial goals. Our policy with respect to personal information about you is listed below.

- We do not sell your personal information to anyone.
- We limit access to information only to those who have a business or professional reason for knowing, and only to nonaffiliated parties as permitted by law. (For example, federal regulations permit its to share a limited amount of information about you with a brokerage firm in order to execute securities transactions on your behalf, or so that our firm can discuss your financial situation with your accountant or lawyer.)
- We will provide notice of change in our information sharing practices. If, at any time in the future, it is necessary to disclose any of your personal information in a way that is inconsistent with this policy, we will give you advanced notice of the proposed change so you will have the opportunity to opt out of such disclosure.
- We maintain a secure office and computer environment to ensure that your information is not placed at unreasonable risk.
- For unaffiliated third parties that require access to your personal information, including financial service companies, consultants, and auditors, we also require strict confidentiality in our agreements with them and expect them to keep this information private. Federal and state regulators also may review firm records as permitted under law.
- We do not provide your personally identifiable information to mailing list vendors or solicitors for any purpose.
- Personally identifiable information about you will be maintained during the time you are a client, and for the required time thereafter that such records are required to be maintained by federal and state securities laws. After this required period of record retention, all such information will be destroyed.

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Permission to share health information with a nonaffiliated third-party:

State law prohibits our firm from sharing any of your personal health information with a third party without your permission. You have a right not to permit us to share this information with anyone else. As an investment advisory and financial planning firm, in order for us to discuss your life insurance needs with an insurance company or other insurance professionals, you must check off the box below if you consent to our sharing such information. Please return the consent form to our firm or e-mail your consent to:

Consent granted: _____ Yes _____ No

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Signature: (x) _____

Printed name:

Signature: (x) _____

Printed name:

Date: