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# ROSE GLEN, LLC

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WEALTH TRANSFER & ACCUMULATION

## 2020 PRIVACY POLICY

### **Privacy Policy Statement**

At Rose Glen, LLC (“Rose Glen”), we are committed to protecting your privacy as our client and, as such, we offer you this pledge:

Rose Glen may collect certain information about your personal, health, financial and life insurance history (collectively, your “Personal Information”). We will not sell, disseminate, disclose, trade, transmit, transfer, share, lease or rent any of your Personal Information to any third party not specifically authorized by you to receive this information except as we have disclosed to you in this Privacy Policy. This Privacy Policy answers some questions about what information we collect, what we do with it, and how we protect it.

### **Information We Collect**

We will ask you to provide your Personal Information when you seek to obtain insurance coverage through Rose Glen. We will request this information through multiple mechanisms in order to solicit the best available insurance products for your needs from various insurance companies. We may send you a questionnaire that will ask you to provide certain Personal Information, including your name, address, telephone number, email address, Social Security number, driver’s license number, as well as some details regarding your health and prior insurance coverages. We may provide you with a HIPAA (The Health Insurance Portability and Accountability Act of 1996) authorization form so that we can collect certain health information, including but not limited to Attending Physician Statements. We may retain a third-party vendor to obtain such Attending Physician Statements. Also, certain insurance products may require that we request a medical exam be performed through a third-party vendor. Rose Glen requires that any Personal Information gathered by third-parties be transmitted securely. This Personal Information may then be provided by Rose Glen to certain insurance company(ies) for purposes of evaluating and underwriting your application for insurance. Finally, once an insurance product is selected, Rose Glen may collect Personal Information from you in the form of the insurance application for that particular product, which we will transmit to the insurance company(ies) through a secure portal or by Federal Express.

### **Our Use of Your Personal Information**

Rose Glen maintains a record of your information so we can provide you with policyholder service. The employees of Rose Glen are each required to sign and acknowledge a Confidentiality And Non-Disclosure Agreement. Each employee is instructed on the importance of maintaining the privacy of each customer's Personal Information. Moreover, we attempt to maintain best practices for privacy and security through our policies.

When you secure an insurance policy through Rose Glen, you may pay the premiums with your personal check. If you pay the premium using your personal check, we will send the check to the insurance company.

### **Where We Obtain Personal Information**

Rose Glen may collect personal information from:

- You: on the forms and applications referenced above. Information we collect may include names, addresses, Social Security numbers, financial and tax information and similar information.
- Third parties: including physicians, employers, other insurers. Information we collect may include medical information, medical records, employment history and insurance claim history.
- Insurance reporting agencies, government agencies, and medical information providers.

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**A MEMBER FIRM OF  
M FINANCIAL GROUP**

Insurance products offered through Rose Glen, LLC.  
Securities offered through M Holdings Securities, Inc.,

A Registered Broker/Dealer, Member FINRA/SIPC.  
Rose Glen, LLC is independently owned and operated. 3023104.1

## **How Your Information is Protected**

Rose Glen does not sell our customers' information to anyone. We do not disclose nonpublic Personal Information to our affiliates or to nonaffiliated third parties, except as required or permitted by law.

We seek to maintain high privacy and security standards to safeguard your Personal Information; and we maintain strict control over access to such information. Our policies and practices are designed to meet or exceed the federal and state law requirements for maintaining the security of our customers' nonpublic Personal Information. In order to ensure the safety and confidentiality of your nonpublic Personal Information, we continually:

- Maintain and monitor administrative, technical, and physical safeguards;
- Ensure that all of our systems and websites are password protected and that data transmitted to our offsite data center is encrypted;
- Periodically review our policies and practices;
- Continually test the strength of our security safeguards;
- Restrict employee access to Personal Information only to those who need the information to perform their assigned duties and provide products and services to you; and
- Perform employee background screening to include criminal background checks. In addition, all copies of the underwriting files and policies of insurance that you purchase through us are imaged and saved in encrypted format on a secure server. Once the documents are imaged, all hard copies of these documents are securely shredded by a third party vendor.

## **Notice of Insurance Information Practices**

Personal Information about you, including information from loss histories, may be collected from persons other than you in connection with your application for insurance and subsequent policy renewals. You have the right to review your Personal Information as maintained in our files at any time. A written request to conduct such a review must be made to: Morey Goldberg, President, Rose Glen, LLC, 308 E. Lancaster Ave., Suite 301, Wynnewood, PA 19096. You have the right to request a correction of any inaccuracies. Such information as well as other personal and privileged information collected by us may in certain circumstances be disclosed to third parties without your authorization to assist in servicing your account. A more detailed description of your rights and our practices regarding such information can be accessed by contacting us and asking for additional details about our information and disclosure practices.

## **Changes In Our Privacy Policy**

We may change this Privacy Policy from time to time. When we do, we will let you know by appropriate means such as by mailing you a revised notice and by posting the revised policy on our website. Any changes to this Privacy Policy will become effective when posted unless indicated otherwise.

If you have any questions about our privacy policy, please feel free to contact us at 610-991-2860.