



[Privacy Policy – 2019](#)

This document provides important information regarding the protection of your private non-public information.

- 1) Adviser collects and maintains personal information about you to provide financial services to you.
- 2) Regulations also require Adviser to collect and maintain personal information about you to verify your identity. This helps the government fight the funding of terrorism and money-laundering activities.

The types and categories of information Adviser collects and maintains include personal and financial information that you provide when your Account is opened. From time to time, Adviser may rely on this information to service your account and provide its services to you. Such information includes, but is not limited to, your name, address, date of birth and other information that will allow Adviser to identify you. Adviser may also ask to see your driver's license or other identifying documents.

Adviser collects information regarding your investment activity such as your Account Statements and other pertinent information regarding the performance of your Accounts from Custodians and other financial institutions and entities which provide services to you or your investments in connection with the services Adviser may provide to you.

Adviser does not share any non-public personal information about you except among its affiliated companies and affiliated third parties to whom federal, state and/or local regulations, as applicable, may also apply.

Adviser does not share any non-public information about you with any 3rd party service providers and joint marketers except with 3rd party providers such as accountants and attorneys when applicable, & with 3rd parties, affiliated &/or non-affiliated, such as Custodians, clearing firms, financial institutions and cloud service providers when necessary to process a transaction or service your Account. Adviser's expectation is that legalities and regulations also apply to service providers which prohibit and/or restrict them from disclosing, reusing and/or recycling such information. In addition, Adviser maintains physical, electronic and procedural safeguards designed to guard the privacy of your information.

You may direct AboveRock LLC to not disclose information to non-affiliated third parties by writing to:

AboveRock LLC
Attention: THE CHIEF COMPLIANCE OFFICER
PO Box 550508, Jacksonville, Florida 32255

AboveRock LLC reserves the right to change this Privacy Policy at any time without notice.

Reasons which require changes include, but are not limited to, changing regulations, legalities, Adviser's requirements and the scope of the services Adviser provides to you. If there are material changes to this Policy, an updated Policy will be forwarded to you via e-mail provided you have consented to receiving such information via electronic mail, or via regular mail.

This Privacy Policy is not intended to be all-inclusive.

Please direct all inquiries to:

AboveRock LLC
Attention: THE CHIEF COMPLIANCE OFFICER
PO Box 550508, Jacksonville, Florida 32255
T +1 904 535 2860



Acknowledgement & Receipt

By signing below, I/we acknowledge receipt of a copy of AboveRock LLC's 'Privacy Policy' dated

_____, 20_____.

Once you have signed and dated this receipt, kindly return it to the Founder, Owner, President & Chief Compliance Officer of the Firm Sir & Mr. Bharadwaj "Brad" Venkata Sesha "V. S." Nippani for your file at AboveRock LLC.

This is a compliance requirement.

Client Name (Print)

Client Signature

Date Signed

Client Name (Print)

Client Signature

Date Signed

Client Address

City

State

Zip

AboveRock LLC, PO Box 550508, Jacksonville, FL 32255
T +1 904 535 2860 / [www\(period\)aboverock\(period\)com](http://www.aboverock.com)

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