

# IMPORTANT INFORMATION

**MKG Financial Group, Inc.** (“MKG”), a registered broker-dealer and a state registered (OR, WA) investment adviser, wants to provide you with **important information that will assist you in** understanding how we conduct our business and keep you informed regarding our practices.

## Privacy Statement

At MKG your privacy is our priority. We collect personal information to open your account, to manage your portfolio and to help us provide a better level of service. We protect the security and confidentiality of the personal information that we collect.

Our relationship with you is our most important asset. We understand that you have entrusted us with your private information and we do everything we can to maintain that trust. The following are details of our approach to privacy.

**1. We do not sell your personal information to anyone.**

**2. MKG only shares personal information with third parties and their affiliate companies that help us process transactions or service your account (for example executing your trades, acting as your custodian, or mailing your account statements).**

We may also disclose or report personal information in limited circumstances where we believe in good faith that disclosure is required by law (for example, to cooperate with regulators or law enforcement authorities, resolve customer disputes, perform credit/authentication checks, or for risk control). Outside of these exceptions, we will not share your personal information with third parties unless you have specifically asked us to do so.

**3. We collect personal information in order to administer your account and serve you better.**

Application and registration information. We collect information that you provide to us when you open an account, make application to or through MKG for the purchase of a securities product or service. The information we collect may include name, address, phone number, email address, Social Security number, financial information and information about your investment desires and experience. We also may collect information from consumer reporting agencies to verify your identity in the account opening process.

Transaction Information. Once you have an account with us, to administer your account and better serve you, we collect and maintain personal information about your transactions, including balances, positions, and history, and may include your name or other data in an internal client list that reflects your activities at MKG and with outside contracted providers.

**4. We use your personal information to fulfill our regulatory obligations and to help us deliver the best possible service to you.**

MKG is required by its various regulatory authorities such as FINRA and state jurisdictions to collect, review and maintain certain personal information such as investment history or financial data. Also, the USA PATRIOT Act requires that MKG collect and verify certain personal information to assist us in verifying the identity of our clients and the sources of funds in an effort to prevent money laundering and terrorism.

**5. We protect the confidentiality and security of your personal information.**

Companies we hire to provide support services are not allowed to use your personal information for their own purposes and are contractually obligated to maintain strict confidentiality. We limit their use of your personal information to the performance of the specific service we have requested. We restrict access to personal information to select employees and agents who have a need to know such information for business purposes only. All such employees are trained and required to safeguard such information. We maintain physical, electronic, and procedural safeguards to guard your personal information.

**6. We continue to evaluate our efforts to protect personal information and make every effort to keep your personal information accurate and up to date.**

If you identify any inaccuracy in your personal information, or wish to make a change to that information, please contact us so that we may promptly update our records.

**7. We will provide notice of changes in our information sharing practices.**

If, at any time in the future, it is necessary to disclose any of your personal information in a manner that is inconsistent with this policy, we will give you advance notice of the proposed change so that you have an opportunity to opt out of such disclosure.

If you have any questions or concerns, you may read our privacy statement on our website [www.mkgfinancial.com](http://www.mkgfinancial.com) or contact us by e-mail at [mgaskill@mkgfinancial.com](mailto:mgaskill@mkgfinancial.com) or call us at 503-226-6700 or (800) 760-4933.

## MKG Trade Executions

MKG clears its transactions through TradePMR who clears through First Clearing Corporation. MKG does not receive compensation for directing order flow to any broker dealer.

## Proxy Voting

MKG votes proxies on your behalf unless otherwise directed by you. This authority obligates MKG with a fiduciary duty to vote with the best interest of its clients in mind, using its best judgment under each specific circumstance. MKG keeps a record of proxy votes and will furnish voting details of specific situations upon request. For information please contact MKG Customer Service.

## **Important Information You Need to Know About Opening an Investment Management Account**

To assist in the fight against the funding of terrorism and money laundering activities, US federal law requires financial institutions to obtain, verify, and record information that identifies each person who opens an account.

When you open an account, MKG is required to collect information from you such as: your name, your date of birth, your address, and your tax identification number:

U.S. Citizen: taxpayer identification number (social security number or employer identification number)

Non-U.S. Citizen: taxpayer identification number, identification card number or government-issued identification showing nationality, residence, and a photograph of you.

You will also need to provide a copy of a government issued identifying document such as your driver's license or passport.

A corporation, partnership, trust or other legal entity may need to provide other information, such as its principal place of business, local office, employer identification number, certified articles of incorporation, government-issued business license, a partnership agreement, or a trust agreement.

U.S. Department of the Treasury and SEC rules already require you to provide most of this information. These rules also may require you to provide additional information, such as your net worth, annual income, occupation, employment information, investment experience and objectives, and risk tolerance.

If you are unable to provide the required information, MKG may not be able to open an account or carry out transactions for you. If we have already opened an account for you, we may have to close it.

We thank you for your assistance with these requirements, and hope that you will support the financial industry's efforts to deny terrorists and money launderers access to the financial system.

## **Our Brochure**

Our current Investment Advisory Brochure (ADV Parts II A&B revised 3/31/17) is available to all clients on our website [mkgfinancial.com](http://mkgfinancial.com) or upon email request to [mgaskill@mkgfinancial.com](mailto:mgaskill@mkgfinancial.com) or by phone request to 503-226-6700 or (800)-760-4933.

## **Compliments or Complaints**

It is important that MKG hear both your concerns and compliments. Please direct them to the Chief Compliance Officer at:  
Email: [mgaskill@mkgfinancial.com](mailto:mgaskill@mkgfinancial.com) | Phone: 503-226-6700 or 800-760-4933 or send a letter directly to

**Mark Gaskill**

**MKG Financial Group, Inc. 1500 SW First, Ave., Ste. 1000, Portland, OR 97201**

## **Business Continuity Summary and Disclosure**

Pursuant to State and FINRA regulation, MKG has created a Business Continuity Plan. This plan is for use in the event that MKG was to become the subject of a Significant Business Disruption ("SBD"), ranging from an interruption affecting our Portland location, or a larger area such as the Northwest or the Pacific Coast. The MKG recovery time for such an event will vary depending upon the severity and significance of the event.

Due to our clearing relationship with TradePMR/First Clearing, with its primary location in Jacksonville, FL, along with our own back-up processes, MKG can continue to operate from several locations. However, we have identified a primary, specific, off site location where MKG operations will move should there be a SBD.

For telephone communications, we will attempt to maintain the ability to contact MKG at 503-226-6700 or 800-760-4933 if at all possible. If MKG is not available, clients can contact TradePMR at 888 723-3767.

Our Business Continuity Plan notice is posted on our website [www.mkgfinancial.com](http://www.mkgfinancial.com) and is available by email at [info@mkgfinancial.com](mailto:info@mkgfinancial.com) or phone 503-226-6700 or 800-760-4933. Should you have any questions regarding this summary, please contact us as noted above.