

## Something You Should Know

At Smith Group Asset Management, we are delighted to use the Internet to help explain to you our company and our investment strategies. Before we do this, you should be aware of the following:

1. We do the best we can to verify the accuracy of the information contained in our website. Despite this, you should be aware that occasionally errors do occur. If certain information in this website is critical to you, please email [john@smithasset.com](mailto:john@smithasset.com) and let us know what you want us to double check. Even then, you should use your own judgment about the accuracy of the information you find on this website.
2. Producing investment performance is what we do. To show you how well we do that various pages of this website display our historical performance record. The investment performance shown represents the past. You are mainly interested in what will happen in the future. Unfortunately, we can't help you with that. The financial market conditions that existed during our historical performance period will almost certainly not be the same in the future. The future conditions may help or hurt our ability to produce investment performance. At this point in time, we don't know which of these two outcomes will occur. We will leave that to your judgment.
3. Within this website are links to other areas of the Internet. We have no control over any of those websites. If you travel to any of these sites, please be aware that you do so at your own peril. We are not responsible for anything that you find.
4. Nothing in this website is intended to either solicit business or to offer investment advice. We are simply providing information about our company and our investment strategies.
5. People sometimes like to compare a portfolio's performance to the performance of a benchmark portfolio. To assist in this exercise, whenever we show our performance we usually also show the performance for the same period of the benchmark that we feel is most appropriate. Some of these benchmarks include: (1) S&P 500 – a portfolio of large U.S. companies, (2) Russell 2000 – a portfolio of small U.S. companies.
6. We show our performance before the deduction of the investment management fee. To estimate the net-of-fee performance, subtract 1% per year, which is the maximum fee that we charge.
7. Investing is an exercise that inherently has risk associated with it. Even good investment managers sometimes lose money. Please consider this, along with your own personal investment objectives, before making any investment in the stock market.

# Privacy Policy

## Our Privacy Principles

- We only collect customer information that we need in order to perform our investment management service.
- We do not sell customer information.
- We do not provide customer information to persons or organizations outside our firm for their own marketing purposes.
- We require any person or organization providing services to customers on our behalf to protect the confidentiality of your customer information.
- We afford prospective and former customers the same protections as existing customers with respect to the use of personal information.

## Information We May Collect

To provide our investment management service, we collect nonpublic personal information about you from the following sources:

- Information we receive from you on applications, agreements, or other forms; and
- Information about your transactions with us, or others.

To facilitate trading the securities in your account, we may disclose nonpublic personal information about you to the following types of third parties:

- Financial service providers, such as securities broker-dealers.

We may also disclose nonpublic personal information about you to nonaffiliated third parties as permitted by law, for example, outside auditors.

We may disclose the following information to companies that perform marketing services on our behalf:

- Information we receive from you on applications such as your name.

If you prefer that we not disclose nonpublic personal information about you to nonaffiliated third parties, you may opt out of those disclosures, that is, you may direct us not to make those disclosures (other than disclosures permitted by law or required to facilitate the fulfillment of duties in our role as investment adviser). If you wish to opt out of disclosures to nonaffiliated third parties, you may call Mr. John D. Brim at (214) 880-4608 and request that your information be removed.

We restrict access to nonpublic personal information about you to those employees who need to know that information to provide service to you. We maintain physical, electronic, and procedural safeguards that comply with federal standards to guard your nonpublic personal information.