



HERR CAPITAL MANAGEMENT, LLC
Where Prosperity Begins®

Privacy Statement

Herr Capital Management, LLC an Illinois State registered investment advisor, is committed to safeguarding the confidential information of its clients. We hold all personal information provided to our firm in the strictest confidence. These records include all personal information that we collect from you in connection with any of the services provided by Herr Capital Management, LLC. We have not, nor intend to disclose any information to non-affiliated third parties, except where required to fulfill our obligations and requirements to meet the planning needs of our clients and where permitted by law. If we were to anticipate such a change in our firms privacy policy, we would be prohibited under law from doing so without advising our clients first. We use health and financial information that you provide us to help you meet your personal financial goals while guarding against any real or perceived infringements of your rights of privacy. Our policy with respect to personal information about our clients is as follows:

1. We limit employee and agent access to information only to those who have a business or professional reason for knowing, and only to non-affiliated parties as permitted or required by law (for example: federal regulations permit us 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)
2. You will receive privacy statements from both affiliated and non-affiliated parties, directly from those parties, when appropriate.
3. We maintain a secure office and secure computer environment to ensure that your information is not placed at unreasonable risk.
4. The categories of nonpublic personal information that we collect from a client depend upon the scope of the client engagement. It will include information about our client's personal finances, information about your health to the extent that it is needed for the planning process, information about transactions between our clients and third parties, and information from consumer reporting agencies.
5. For un-affiliated third parties that require access to your personal information, including financial service companies, consultants, auditors we also require strict confidentiality in our agreements with them and expect them to keep this information private. Federal and state regulators may also review our firm's records which include your confidential information as permitted under the law.
6. We do not sell or provide personal information to un-affiliated firms, vendors or solicitors.
7. Personally identifiable information about our client's will be maintained during the client engagement (while you are a client) and for the time required thereafter that such records are required to be maintained by federal and state securities laws, and consistent with the CFP Board Code of Ethics and Professional Responsibility. After this period of record retention, all such information will be destroyed.
8. Additionally, some states have laws prohibiting us from sharing any personal health information about our clients without their permission. As a financial planning firm, part of our planning process requires us to discuss personal information with respect to insurance needs with an insurance company or other insurance professionals. Our clients have the right not to permit us to share this information with anyone else, even though this may have detrimental effects on the planning process. As a result our client agreements contain a consent to release information clause.

The Monadnock Building
53 West Jackson Boulevard, Suite 862
Chicago, Illinois 60604
312.697.1600 p
312.697.1605 f

Citizens Bank of Chatsworth Building
1710 East College Avenue
Normal, Illinois 61761
309.452.6500 p
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Securities offered through American Portfolios Financial Services, Inc. Member FINRA/SIPC. Investment Advisory Services offered through Herr Capital Management, LLC, a registered investment advisor independent of American Portfolios Financial Services Inc.

INVESTMENT PRODUCTS OFFERED ARE:
NOT FDIC INSURED – MAY LOSE VALUE – NO BANK GUARANTEE



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Anti Money Laundering Policies and Procedures

Since Herr Capital Management, LLC does not custody clients assets, Herr Capital Management, LLC has adopted the American Portfolios Financial Services, Inc "APFS" policy as our primary AML compliance policy. The principals and associated persons of Herr Capital Management, LLC maintain securities license(s) with APFS who operates as their broker-dealer institution. Herr Capital Management, LLC has also contracted with several outside firms to assist in the investment management process for our clients. Each of these firms maintain separate and distinct AML policy in the account opening process which sufficiently ensures "AML" compliance. You may request a copy of the applicable policy by contacting us.

Disaster Recovery

Herr Capital Management, LLC realizes the potential for a serious incident to affect our ability to continue normal operations. While no system can guarantee total, timely recovery we have taken the following measures to reduce our risk exposure to disaster:

Computer Files - Our client data is stored in a manner consistent with Securities Exchange Commission Rule 17a-(4) Record Retention requirements. Through an outside vendor, the system utilizes WORM technology. The imaging system provides a dual store system in two different geographical data center locations. Each data center is a SAS 70 Certified, Tier 4, Class A, N+1 facility. As images are added to the directory, they are stored in real time to both data center locations. Currently data is transmitted to the data centers using 128-bit SSL encryption which is updated at least annually.

Account Information - In addition to the data backup listed above, all FINRA required paperwork can be found on the American Portfolios Financial Services, Inc. "APFS" data storage system. In addition, data and information relating to all investment, insurance or other accounts can be found or obtained from the mutual fund, insurance company, APFS, Pershing or at the appropriate firm where the account is held. Most information is readily available through secure internet sites.

The above measures sufficiently protect our firm and clients in the event of a disaster. As technology becomes available, we will continue to look for better, more efficient methods to recover from disasters.

Copies of our form ADV PART II is provided annually to clients.
It is available at www.HerrCapital.com or by request.

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