

STATEMENT OF CLIENT'S RIGHTS AND RESPONSIBILITIES

STATEMENT OF CLIENT'S RIGHTS

1. You are entitled to be treated with courtesy and consideration at all times by your lawyer and the other lawyers and non-lawyer personnel in your lawyer's office.
2. You are entitled to have your attorney handle your legal matter competently and diligently, in accordance with the highest standards of the profession. If you are not satisfied with how your matter is being handled, you have the right to discharge your attorney and terminate the attorney-client relationship at any time. (Court approval may be required in some matters, and your attorney may have a claim against you for the value of services rendered to you up to the point of discharge.)
3. You are entitled to your lawyer's independent professional judgment and undivided loyalty uncompromised by conflicts of interest.
4. You are entitled to be charged reasonable fees and expenses and to have your lawyer explain before or within a reasonable time after commencement of the representation how the fees and expenses will be computed and the manner and frequency of billing. You are entitled to request and receive a written itemized bill from your attorney at reasonable intervals. You may refuse to enter into any arrangement for fees and expenses that you find unsatisfactory. In the event of a fee dispute, you may have the right to seek arbitration; your attorney will provide you with the necessary information regarding arbitration in the event of a fee dispute, or upon your request.
5. You are entitled to have your questions and concerns addressed promptly and to receive a prompt reply to your letters, telephone calls, emails, faxes, and other communications.
6. You are entitled to be kept reasonably informed as to the status of your matter and are entitled to have your attorney promptly comply with your reasonable requests for information, including your requests for copies of papers relevant to the matter. You are entitled to sufficient information to allow you to participate meaningfully in the development of your matter and make informed decisions regarding the representation.
7. You are entitled to have your legitimate objectives respected by your attorney. In particular, the decision of whether to settle your matter is yours and not your lawyer's. (Court approval of a settlement is required in some matters.)
8. You have the right to privacy in your communications with your lawyer and to have your confidential information preserved by your lawyer to the extent required by law.
9. You are entitled to have your attorney conduct himself or herself ethically in accordance with the New York Rules of Professional Conduct.
10. You may not be refused representation on the basis of race, creed, color, religion, sex, sexual orientation, age, national origin or disability.

STATEMENT OF CLIENT'S RESPONSIBILITIES

Reciprocal trust, courtesy and respect are the hallmarks of the attorney-client relationship. Within that relationship, the client looks to the attorney for expertise, education, sound judgment, protection, advocacy and representation. These expectations can be achieved only if the client fulfills the following responsibilities:

1. The client is expected to treat the lawyer and the lawyer's staff with courtesy and consideration.
2. The client's relationship with the lawyer should be one of complete candor and the client should apprise the lawyer of all facts or circumstances of the matter being handled by the lawyer even if the client believes that those facts may be detrimental to the client's cause or unflattering to the client.
3. The client must honor the fee arrangement as agreed to with the lawyer to the extent required by law.
4. All bills tendered to the client for services rendered pursuant to the agreed upon arrangement regarding fees and expenses should be paid when due.
5. A client who discharges the attorney and terminates the attorney-client relationship must nevertheless honor financial commitments under the agreed to arrangement regarding fees and expenses to the extent required by law.
6. Although the client should expect that his or her letters, telephone calls, emails, faxes and other communications to the lawyer will be answered within a reasonable time, the client should recognize that the lawyer has other clients who may be equally deserving of the lawyer's time and attention.
7. The client should maintain contact with the lawyer, promptly notify the lawyer of any change in telephone number, address, email, or other electronic contact information, and respond promptly to a request from the lawyer for information and cooperation.
8. The client must realize that the lawyer is required to respect only legitimate objectives of the client and that the lawyer will not advocate or propose positions that are unprofessional or contrary to law or the New York Rules of Professional Conduct.
9. The lawyer may decline to accept a matter of the lawyer has previous personal or professional commitments that will prohibit the lawyer from devoting adequate time to representing the client competently and diligently.
10. A lawyer is under no obligation to accept a client if the lawyer determines that the cause of the client is without merit, a conflict of interest would exist or a suitable working relationship with the client is not likely.

PRIVACY NOTICE & POLICY

PRIVACY NOTICE

The following sets forth the privacy policy of Maura A. Smith Law Offices LLC (the “Privacy Policy”). The policy is designed to protect the information you have provided in connection with this matter. As you know, attorneys have been and continue to be bound by professional standards of confidentiality that are even more stringent than those required by law. The Privacy Policy is intended to inform you about our obligations to: (i) maintain client confidences, including any information obtained in the course of this representation; and (ii) take appropriate measures to prevent disclosure of your confidential information to third parties, except as permitted by you or required by law. Information which has been previously disclosed by you to third parties, or is publicly available, is not covered by this Privacy Policy.

PRIVACY POLICY

- I. **ETHICAL COMMITMENT AND PLEDGE.** As attorneys admitted to the Bar of the State of New York, and to other State Bars, we are bound by the ethical rules of professional responsibility regulating us and those we supervise. In accordance with those rules, we pledge to safeguard our clients’ confidential information.
- II. **PERMITTED DISCLOSURE.** We do not disclose any non-public, personal or confidential information we have obtained in the course of our representation of any former or current clients, unless we are obligated to do so by a court of competent jurisdiction, after all appropriate objections have been raised, and our clients have had an opportunity to participate in raising such objections, to the extent legally permissible. Permitted disclosures of confidential information may include sharing information with our employees, employees our clients may designate, and third parties retained to assist us in providing competent and professional representation for our clients.
- III. **TYPES OF NONPUBLIC INFORMATION COLLECTED.** Data collected by us may include an individual client’s name, address, telephone numbers, social security number, email address, as well as other non-public information pertaining to a client’s financial situation, marital status, health, or their involvement in other legal proceedings. Non-public information or data from company clients may include one or more of the following: internal company policies, confidential contracts, financial or strategic planning information, information related to legal proceedings, and certain personal information of board members, executives, or other employees.
- IV. **UNDERTAKING.** Non-public information is, separately and in its totality, confidential, and we will treat it with the utmost of care. We will secure our clients’ files (both hard copies and electronic) in a safe location not accessible to third parties without express permission to access such files, and we will take appropriate measures to ensure that they are not disclosed inadvertently by us. To the extent that our clients have previously disclosed certain information to various government agencies, banks and other institutions, or in connection with other legal proceedings, we cannot assure that others to whom disclosure has been made will maintain said information securely and in confidence. Nonetheless,



absent a court order or other legal compulsion, we will not share with any third party non-public information provided to us without their consent.

- V. **RESPONDING TO DATA SECURITY BREACH OR INCIDENT.** Since no company or individual is immune from a security breach and its potentially perilous consequences, we will routinely perform a privacy and data management assessment in conjunction with our software provider that has adopted or implemented specific policies and procedures to detect cybersecurity risks. We will notify our clients promptly in the event of a data breach or incident, and comply with applicable regulations.