



CERTIFIED FINANCIAL STRATEGIES

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Live for today ... Plan for tomorrow

Privacy Notice

This Privacy Notice is given to you on behalf of **Certified Financial Strategies Corporation**. This Privacy Notice tells you:

- Why and how we gather information about you
- How we protect what we know about you
- How we use and disclose your information
- What your rights are

Why We Need to Know About You: We provide investment, retirement, tax and other financial planning related advice. In order to provide you with financial advice that is suitable for your needs and situation, we need to know a variety of information about you. We may also need information about you in order to administer your business with us, process transactions and run our business. In addition, we need information from you to help verify identities in order to prevent money laundering and terrorism. The nonpublic personal information we have about you includes what you give us when you open an account or communicate with us. This could include:

- Your name and address
- Social Security Number
- Investment objectives and experience
- Financial circumstances
- Employment
- Account balance and account transactions.

How We Learn About You: What we know about you we get directly from you. Through questionnaires, application forms, documentation provided by you, and discussions with you, we collect the necessary information. We do not obtain information about you from any third party.

How We Protect What We Know About You: Because you entrust us with personal information, we take steps we consider reasonable to make sure that what we know about you is treated confidentially. We require confidentiality agreements with companies we hire to help us provide services to you. We are taking steps to secure our computer databases as well as paper copies of your information. In addition, employees understand that any breach of this confidentiality will result in termination.

How We Use and Disclose What We Know About You: We may use what we know about you to help us better serve you. We are allowed by law to use the nonpublic information we have about you, and disclose it to third parties which we hire to help us provide services to you. For instance, we may use your information, and disclose it to others to:

- Help us process investment transactions
- To set up investment accounts with Charles Schwab or other custodians or asset managers
- Help us run our business
- Confirm or correct what we know about you
- Process information for us
- Help us prevent fraud and criminal activity
- Help us comply with the law

When we disclose information to other parties to perform business services for us, they are required to take appropriate steps to protect this information. They may use the information only for the purposes of performing those business services. In addition, other reasons we may disclose what we know include:

- Doing what a court or government agency requires us to do; for example, complying with a search warrant or subpoena;
- Telling another company what we know about you, for business valuation purposes.

Generally, we will disclose only the information we consider reasonably necessary to disclose or as required by law and nothing more. If you end your relationship with Certified Financial Strategies Corp., we will continue to adhere to the policies and procedures described in this notice. We do not sell personal information about clients or former clients to anyone.

Questions: If you have any questions regarding this **Privacy Notice**, please contact us at 972-702-8121.