

## Financial Principles, LLC

### PRIVACY NOTICE

It is the policy of **Financial Principles, LLC** (“**FP**”) to keep confidential nonpublic personal information (“*information*”) pertaining to each current and former client (i.e., information and records pertaining to personal background, investment objectives, financial situation, investment holdings, account numbers, account balances, etc.) unless FP is: (1) previously authorized by the client to disclose *information* to individuals and / or entities not affiliated with FP, including, but not limited to the client’s other professional advisors and / or service providers (i.e., attorney, accountant, insurance agent, broker-dealer, investment advisor, account custodian, etc.); (2) required to do so by judicial or regulatory process; or (3) otherwise permitted to do so in accordance with the parameters of applicable federal and / or state privacy regulations. This disclosure of *information* contained in any document completed by the client for processing and / or transmittal by FP in order to facilitate the commencement / continuation / termination of a business relationship between the client and a nonaffiliated third party service provider (i.e., broker-dealer, investment adviser, account custodian, insurance company, etc.), including *information* contained in any document completed and / or executed by the client for FP (i.e., advisory agreement, client information form, etc.) shall be deemed as having been automatically authorized by the client with respect to the corresponding nonaffiliated third party service provider. Each individual and / or entity affiliated with FP is aware of FP’s *Privacy Policy*, and has acknowledged his / her /its requirement to comply with same. In accordance with FP’s *Privacy Policy*, each such affiliated individual and / or entity shall have access to *information* to the extent reasonably necessary for FP to perform its service for the client, and to comply with applicable regulatory procedures and requirements.