



## **NOTICE REGARDING TREATMENT OF CONFIDENTIAL INFORMATION**

### **Privacy Notice to Our Clients.**

Conceptual Financial Advisors, LLC strongly believes in protecting the confidentiality and security of information we collect about you. This notice describes our privacy policy and describes how we treat the information we receive about you.

### **Why We Collect And How We Use Information.**

When we evaluate your request for our services, provide investment advice to you and process transactions for your account, you typically provide us with certain personal information necessary for these transactions. We may also use that information to offer you other services we provide which may meet your investment needs.

### **What Information We Collect.**

The personal information we collect may include:

- Name and address
- Social Security or taxpayer identification number
- Assets
- Income
- Account balance
- Investment activity
- Accounts at other institutions

### **How We Protect Information.**

We do not sell your personal information to anyone.

We treat information about current and former clients and their accounts in a confidential manner. Our employees may access information and provide it to third parties only when completing a transaction at your request or providing our other services to you.

At your request, we may disclose information to attorneys, accountants, lawyers, securities professionals and others to assist us, or them, in providing services to you. We may also share information with companies that perform services on our behalf, such as the companies that we hire to perform marketing or administrative services. Companies we may hire to provide support services are not allowed to use your personal information for their own purposes. We may make additional disclosures as permitted by law.

We also maintain physical, electronic, and procedural safeguards to protect information. Employees and our professional service representatives are required to comply with our established information confidentiality provisions.

### **Access to and Correction of Information.**

Generally, upon your written request, we will make available information for your review. Information collected in connection with, or an anticipation of, any claim or legal proceeding will not be made available.

If your personal information with us becomes inaccurate, or if you need to make a change to that information, please contact us at the number shown below so we can update our records. If for any reason you wish to restrict CFA from sharing information with any other person or institution, you may ask to "opt out" by writing CFA at P.O. Box 1637, Appleton, WI 54912-1637 and stating that you do not wish for us to share any of your information with any other person or institutions.

### **Further Information.**

If you have any questions about our Privacy Policy, if you would like another copy or if you have any questions regarding your account, please contact our office at 920-731-9500.

**Please be advised that you may obtain information about SIPC, including the SIPC brochure, by contacting SIPC either by phone (202) 371—8300 or visiting [www.sipc.org](http://www.sipc.org).**

(04/2014)