

## Client Information Privacy Policy



Your privacy is a top priority for Accredited Investor Services, LLC dba AIS Planning (AIS). Today's technology-laden environment requires, more than ever, that we are judicious and wise in the collection, usage and storage of our clients' personal information. To be successful, we must continue to ensure that our clients are confident that we will manage their personal information expertly and confidentially.

At AIS, our clients have access to a broad range of products and services from investments, insurance, online brokerage accounts and financial planning services. To deliver these products and services as effectively and conveniently as possible, it is essential that we gather, manage and maintain certain personal client information.

We want to assure all of our clients that whenever information is used, it is done with discretion. The safeguarding of client information is an issue we take seriously at AIS. To affirm our continuing commitment to the proper use of client information, we have set forth the following Privacy Policy. It is this Privacy Policy that guides us in serving the privacy needs of our clients.

- 1. Recognition of a Client's Expectation of Privacy:** At AIS, we believe that confidentiality and protection of client information is one of our fundamental responsibilities. While having access to personal information is critical to providing quality service, we recognize that one of our most important assets is the trust our clients have in us.
- 2. Use, Collection, and Retention of Client Information:** AIS limits the use, collection and retention of client information to what we believe is necessary or useful to conduct our business, provide quality service, and offer products, services, and other opportunities that may be of interest to our clients.
- 3. Maintenance of Accurate Information:** AIS recognizes that it must maintain accurate client records. Therefore, AIS has established procedures to maintain the accuracy of client information and to keep such information current and complete. These procedures include responding to requests to correct inaccurate information in a timely manner.
- 4. Limiting Employee Access to Information:** At AIS, employee access to personally identifiable client information is limited to those with a business reason to know such information. Employees are educated on the importance of maintaining the confidentiality of client information and on this Privacy Policy. Because of the importance of these issues, all AIS employees are responsible for maintaining the confidentiality of client information and employees who violate this Privacy Policy will be subject to disciplinary measures.
- 5. Protection of Information via Established Security Procedures:** AIS recognizes that a fundamental element of maintaining effective client privacy procedures is to provide reasonable protection against the unauthorized access to client information. Therefore, AIS has established appropriate security standards and procedures to guard against any unauthorized access to client information. AIS will not collect and/or retain any clients passwords for non-managed accounts. This policy applies to physical and electronic records.
- 6. Restrictions on the Disclosure of Client Information:** When it comes to sharing client information with unaffiliated companies, AIS places strict limits on who receives specific information about client accounts and other personally identifiable data. AIS may share some information with such companies if they provide a product or service that may benefit our clients. Whenever we do this, we carefully review the company and the product or service to make sure that it provides value to our clients. We share the minimum amount of information necessary for that company to offer its product or service. We may also share information with unaffiliated companies that assist us in providing our products and services to our clients; in the normal course of our business; when legally required or permitted in connection with fraud investigations and litigation; in connection with acquisitions and sales; and at the request or with the permission of a client.
- 7. Maintaining Client Privacy in Business Relationships with Third Parties:** If we provide personally identifiable client information to a third party with which we have a business relationship, we will insist that the third party keep such information confidential and consistent with the conduct of our business relationship.
- 8. Disclosure of Privacy Policy to Clients:** AIS recognizes and respects the privacy expectations of our clients. We want our clients to understand our commitment to privacy in our use of client information. As a result of our commitment, we have developed this Privacy Policy, which is made readily available to our clients. Clients who have questions about this Privacy Policy or have a question about the privacy of their client information should call toll free at 877-252-6552 or email at [meet@aisplanning.com](mailto:meet@aisplanning.com).

We reserve the right to change this Privacy Policy, and any of the policies or procedures described above, at any time without prior notice. This Privacy Policy is for general guidance and does not constitute a contract or create legal rights and does not modify or amend any agreements we have with our clients.