



United Planners Privacy Policy

Through its independent financial professionals, United Planners has the privilege of assisting clients in reaching their financial goals. We take very seriously the responsibility to safeguard the confidentiality of clients' information that we obtain. We are, therefore, pleased to provide our policy on handling client information.

When you establish a relationship with one of our independent financial professionals, you are requested to furnish personal and financial information used to assist in assessing your investment objectives and goals. In accordance with federal regulations, we may ask you to provide identification documents or other information. What you share with us is often private and confidential, and we are committed to its protection. In addition to the information collected, during the course of our relationship we may also collect a variety of non-public personal information from other sources. What we collect may include:

- Information we receive from you on the client agreement form and account applications. This information may include your name, address, phone number, email address, Social Security number and date of birth, as well as details about your interests, investments, and investment experience;
- Information about your transactions with us or others, including your financial professional;
- Information we receive from our correspondent clearing firm, and custodians with respect to your account(s);
- Medical information submitted as part of an insurance application such as a traditional life or variable life policy; and
- Information received from service bureaus or other third parties.

Limitations and Controls regarding sharing customer information

United Planners does not disclose nonpublic personal information about you to anyone, except as permitted by law. Information is only shared to the extent that is prudent for United Planners and/or our financial professionals to offer you products and services that best meet your investing and/or information protection needs and effect transactions that you request or authorize. We may disclose the information we collect to companies that perform administrative or marketing services on our behalf, product sponsor companies, parent company and subsidiaries, custodians, certain third-party data management providers, transfer agents, data protection servicers, and when it is required by law to regulatory or law enforcement authorities. As stated in our agreements, these companies will use this information only for the services for which we have specified, and are contractually obligated not to use or share this information for any other purpose.

Additionally, United Planners:

- Provides training to all employees regarding the protection and confidentiality of client information;
- Maintains physical, electronic, and procedural safeguards that comply with federal standards to protect this information;
- Will under no circumstances sell any information to any person or entity.

United Planners and its independent financial professionals are committed to keeping your customer information secure, accurate, and current. This commitment also extends to those individuals who are no longer active customers. If you close your account or are in the process of transferring your investments, we may share your information with the new firm or custodian that you or your financial professional select. If the financial professional servicing your account leaves us to join another firm, the financial professional is permitted to retain copies of your information so that he or she can continue to serve you, if you choose, at the new firm. If your account is not transferred within sixty days, your account may be assigned to a current United Planners financial professional.

United Planners reserves the right to change the policy at any time and will inform you of any changes as they occur.