

**Privacy Policy**  
**Of**  
**The Retirement Plan Company, LLC**

To Our Clients:

Your privacy is important to us, and maintaining your trust and confidence is one of our highest priorities. A recent law change requires us (along with banks, brokerage houses, and other financial institutions) to disclose our Privacy Policy to you. Of course, The Retirement Plan Company, LLC has always protected your right to privacy with professional standards that are even more stringent than those required by law. We hope that by taking a few moments to read it, you will have a better understanding of what we do with the information you provide us and how we keep it private and secure.

**A. Types of Information We Collect**

We collect certain personal information about you - but only when that information is provided by you or is obtained by us with your authorization. We use that information to provide various retirement planning services to you at your request.

Examples of sources from which we collect information include:

- interviews and phone calls with you
- letters or e-mails from you

**B. Parties to Whom We Disclose Information**

As a general rule, we do **not** disclose personal information about our clients or former clients to anyone. However, certain nonpublic information about you may be disclosed in the following situations:

1. To comply with a validly issued and enforceable subpoena or summons.
2. In the course of a review of our firm's practices under the authorization of a state or national licensing board, or as necessary to properly respond to an inquiry or complaint from such a licensing board or organization.
3. In conjunction with a prospective purchase, sale, or merger of all or part of our practice, provided that we take appropriate precautions (for example, through a written confidentiality agreement) so the prospective purchaser or merger partner does not disclose information obtained in the course of the review.
4. As a part of any actual or threatened legal proceedings or alternative dispute resolution proceedings either initiated by or against us, provided we disclose

only the information necessary to file, pursue, or defend against the lawsuit and take reasonable precautions to ensure that the information disclosed does not become a matter of public record.

5. To provide information to affiliates of the firm and nonaffiliated third parties who perform services or functions for us in conjunction with our services to you, but only if we have a contractual agreement with the other party which prohibits them from disclosing or using the information other than for the purposes for which it was disclosed. (Examples of permitted disclosures to third parties include our retirement plan software provider or a records-retention agency to store prior year records.)

### **C. Confidentiality and Security of Nonpublic Personal Information**

Except as otherwise described in this notice, nonpublic personal information about you is accessed only by employees of our firm on an as-needed basis and other parties who must use that information to help provide services to you. Their right to further disclose and use the information is limited by the policies of our firm, applicable law, and nondisclosure agreements where appropriate. We also maintain physical, electronic, and procedural safeguards to protect your information.

Thank you for allowing us to serve your retirement planning needs. We value your business and are committed to protecting your privacy. We hope you view our firm as your trusted adviser and we will work to continue earning your trust. Please call us if you have any questions or if we can be of further service.

The Retirement Plan Company, LLC