

Privacy Policy

SPG is bound by professional standards of confidentiality that are even more stringent than those required by law. Federal law gives the customer the right to limit some but not all sharing of nonpublic personal information (NPI). It also requires us to tell you how SPG collects, shares, and protects your NPI.

TYPES OF NONPUBLIC PERSONAL INFORMATION SPG COLLECTS

SPG collects NPI about you that is either provided to us by you or obtained by us with your authorization. This can include but is not limited to your Social Security number, date of birth, banking information, financial account numbers and/or balances, and sources of income.

REASONS WHY SPG COLLECTS YOUR NONPUBLIC PERSONAL INFORMATION

We will collect your information to:

- Open an account
- To provide you with advice or make a recommendation about your investments
- To make deposits or withdrawals from your account

PARTIES TO WHOM SPG DISCLOSES INFORMATION

SPG only shares your NPI with parties whose use of your information is required for us to provide you with the services that it offers and to execute the responsibilities SPG maintains as a fiduciary, as well as any necessary compliance with legal and regulatory organizations. These parties include, but are not limited to:

- Affiliates,
- Non-affiliated third parties,
- Co-Providers/Third Party Money Managers,
- Financial Custodians,
- Insurance Carriers,
- Essential SaaS Providers (e.g. CRM, Document Storage, Financial Planning, etc.),
- The Securities Exchange Commission, local, state and federal law enforcement (upon request).

FEDERAL LAW GIVES YOU THE RIGHT TO LIMIT SOME SHARING

| Reasons we can share your NPI | Does SPG Share? | Can You Limit Sharing? |
|--|-----------------|--|
| For our everyday business purposes – such as to process your transactions, maintain your account(s), respond to court orders and legal investigations. | Yes | No |
| For our marketing purposes – to offer our products and services to you | Yes | No |
| To solicit reviews from clients - Responses to these requests may be used by SPG in marketing materials and other communications, and in so doing, SPG may identify the applicable person(s) as a current or former client of SPG. | Yes | Yes - until the second day after leaving a review. |
| For joint marketing with other financial companies | Yes | No |
| For our affiliates' everyday business purposes – about your creditworthiness | Yes | Yes |
| For our affiliates' everyday business purposes - information about your transactions and information | Yes | No |
| For non-affiliates' everyday business purposes – information about your creditworthiness | Yes | No |
| For our affiliates to market to you | Yes | Yes |
| For non-affiliates to market to you | No | We don't share |

State laws and individual companies may give you additional rights to limit sharing.

WHEN AND TO WHOM WILL YOUR INFORMATION BE SHARED?

If you are a new customer, SPG may begin sharing your NPI on the day you sign our agreement in order for us to begin providing you with financial management services. When you are no longer our customer, SPG may continue to share your information as described in this notice. However, you can contact us at any time to limit our sharing. Your choices will apply to everyone on your account that is held jointly with someone else.

PROTECTING THE CONFIDENTIALITY OF CURRENT AND FORMER CLIENT'S NPI

To protect your NPI from unauthorized access and use, SPG uses security measures that comply with federal law. These measures include electronic data encryption, management of data access, physical security for devices and paper documents, internal procedures, and secure disposal of data, devices, and paper records.

| Definitions | |
|-----------------|--|
| Affiliates | Companies related by common ownership or control. They can be financial and nonfinancial companies. Our affiliates are Sound Planning Group, Inc, SPG Advisors LLC, Joe Maas - outsourced CIO. |
| Non-Affiliates | Companies not related by common ownership or control. They can be financial and nonfinancial companies. |
| Joint marketing | A formal agreement between nonaffiliated financial companies that together market financial products or services to you. |

QUESTIONS

Please call if you have any questions. Your privacy, our professional ethics, and the ability to provide you with quality financial services are very important to us. Call us at 425-821-9442, or mail us at 11411 NE 124th St., Suite 255 Kirkland, WA 98034.

If you choose to limit sharing, please notify us immediately by calling our office at 425-821-9442, sending an email to admin@myspg.com, or mailing the form below to our office.

| Opt Out Mail in Form | |
|--|---|
| Your name: _____ | |
| Your Address: _____ | |
| <p>If you have a joint account, your choice(s) will apply to everyone on your account unless you mark below.</p> <p><input type="checkbox"/> Apply my choices only to me</p> | <p>Mark any/all you want to limit:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Do not share information about my creditworthiness to non-affiliates for their everyday business purposes. <input type="checkbox"/> Do not share my personal information with affiliates to market their services and products to me. <input type="checkbox"/> Do not send me text messages. <input type="checkbox"/> Do not identify me as a client with your firm when I leave a review online. <p>Mail to:</p> <p>Sound Planning Group 11411 NE 124th St Suite 255 Kirkland, WA 98034</p> |