

## **Richard P. Slaughter Associates, Inc. (RPSAI) Privacy Notice**

Investment advisors are required by law to inform their clients of their policies regarding privacy of client information. Federal law gives the customer the right to limit some but not all sharing of personal information. It also requires us to tell you how we collect, share, and protect your personal information.

The RPSAI privacy policy was established to assure our clients that their personal and financial information is secure. We respect your privacy and conduct business in a manner that keeps your information confidential.

### **1. We do not Sell Your Personal Information.**

### **2. What Personal Information Do We Collect?**

To administer your accounts, we collect personal information that is required to maintain your account(s).

- **Application, Registration, and Financial Planning Information.** We collect general information when you open an account or sign up for our services. The information we collect includes, but is not limited to, the following: your name, address, phone number, date of birth, email address, Social Security number, and information about your interests, existing investments, and your investment experience.
- **Website Usage.** Whenever someone visits our website, our website service provider collects information through the use of “cookies”, a software program that gathers basic information about your computer and internet settings. Specifically, they gather information including: your Internet service provider, your domain name, your computer’s operating system and web browser, and your product and service preferences to improve website performance. Personal information is encrypted through SSL Technology.
- We may use your personal information and feedback to expand our services or to alert you to products and services that match your needs and interests.

### **3. Is Personal Information Shared with Others?**

We do not disclose the personal information of current, former or prospective clients to third parties, unless one of the following exceptions applies:

- We disclose personal information to companies that help us service your account(s), process your transactions, or monitor and process class action claims
- We may disclose or report personal information in unusual circumstances where disclosure is required or permitted under law. Some examples of the circumstances are: cooperating with regulators or law enforcement authorities, resolving consumer disputes, performing credit / authentication checks, or for institutional risk control.
- You have provided us with verbal (phone call or via virtual or in-person meeting) or written authorization (email, letter) to share specific information with a specific third-parties (i.e. your attorney, CPA, third-party vendor, etc.).

Outside of these rare exceptions, we will not share your personal information with third parties.

### **4. How Do We Protect the Confidentiality, Security and Integrity of Your Information?**

- We maintain physical, electronic and procedural safeguards that comply with federal standards to protect your personal information.
- We restrict access to personal information to our employees and agents for business purposes only. All employees are required to safeguard such information.
- Whenever we utilize third party support services, we require them to conform to our privacy standards. We give these companies the information needed to perform the task or service we have requested.
- It is vital that our records are accurate and complete. If you see information that is outdated or incorrect, please contact us immediately so that we may update our records.

### **5. We Will Provide Notice of Any Changes in Our Information-Sharing Practices.**

If, at any time in the future, it is necessary to disclose any of your personal information in a way that is inconsistent with this policy, we will give you advance notice of the proposed change so that you will have the opportunity to opt out of such disclosure.

**ANY QUESTIONS OR CONCERNS:** Should you have any questions regarding the above, please contact our Chief Compliance Officer, Brooks Slaughter, or his appointed delegate.