

A Registered Investment Adviser

## PRIVACY POLICY

Investment advisors, like all providers of personal financial services, are now required by law to inform their clients of their policies regarding privacy of client information. Investment advisors have been and continue to be bound by professional standards of confidentiality that are even more stringent than those required by law. Therefore, we have always protected your right to privacy.

### TYPES OF NONPUBLIC PERSONAL INFORMATION WE COLLECT

We collect nonpublic personal information about you that is either provided to us by you or obtained by us with your authorization.

The categories of nonpublic personal information that we collect from a client depend upon the scope of the client engagement. It could include information about your personal finances, information about your health to the extent that it is needed for the planning process, information about transactions between you and third parties, and information from consumer reporting agencies.

### PARTIES TO WHOM WE DISCLOSE INFORMATION

For current and former clients, we do not disclose any nonpublic personal information obtained in the course of our practice except as required or permitted by law or authorized by you. Permitted disclosures, for instance include, providing information to our employees and, in limited situations, to unrelated third parties who need to know that information to assist us in providing services to you. In all such situations, we stress the confidential nature of information being shared.

We limit access to information only to those who have a business or professional reason for knowing, and only to nonaffiliated parties as permitted by law or authorized by you. We will also make information available to family members or others but only with your written request.

We never provide your personally identifiable information to mailing list vendors or solicitors under any circumstance.

### PROTECTING THE CONFIDENTIALITY AND SECURITY OF CURRENT AND FORMER CLIENT'S INFORMATION

We retain records relating to professional services that we provide so that we are better able to assist you with your professional needs in the future and in some cases, to comply with professional guidelines. In order to guard your nonpublic personal information, we maintain physical, electronic, and procedural safeguards that comply with our professional standards and State law.

### I/WE AUTHORIZE DOGWOOD FINANCIAL PLANNING TO RELEASE INFORMATION CONCERNING MY/OUR FINANCIAL SITUATION TO THE FOLLOWING PEOPLE:

CPA \_\_\_\_\_  
Attorney \_\_\_\_\_  
Insurance Agent \_\_\_\_\_  
Family members \_\_\_\_\_  
Other: \_\_\_\_\_

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Name 1

Name 2

Date

**Please call if you have any questions, because your privacy, our professional ethics, and the ability to provide you with quality financial services are very important to us.**