

ETFidea, LLC

Privacy Statement and FINRA/SIPC Contact Information

ETFidea, LLC, a registered investment advisory and financial planning firm, is committed to safeguarding the confidential information of its clients. We hold all personal information provided to our firm in the strictest confidence. The records we maintain include all personal information that we collect from you in connection with any of the services provided by ETFidea. We have never disclosed information to non-affiliated third parties, except as permitted by law, and do not anticipate doing so in the future. If we were to anticipate such a change in our firm's policy, we would be prohibited under the law from doing so without advising you first. As you know, we use health and financial information that you provide to us to help you meet your personal financial goals and have established the following procedures to mitigate any real or perceived infringements of your rights of privacy:

- We limit employee and agent access of information to only: 1) those who have a business or professional reason for knowing; 2) non-affiliated parties as permitted by law (For example, federal regulations permit us to share a limited amount of information about you with a brokerage firm in order to execute securities transactions on your behalf, or so that our firm can discuss your financial situation with your accountant or attorney.); or 3) those required by judicial or regulatory process.
- We maintain a secure office and computer environment to ensure your information is not placed at unreasonable risk.
- The categories of non-public personal information that we collect from clients depend upon the scope of the client's engagement. It will 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.
- For unaffiliated third parties that require access to your personal information, including financial services companies, consultants, and auditors, we also require strict confidentiality in our agreements with them and expect them to keep this information private. Federal and state regulators may also review firm records as permitted by law.
- The disclosure information contained in any document completed by the client for processing and/or transmittal by ETFidea in order to facilitate the commencement, continuation or termination of a business relationship between the client and a non-affiliated third party service provider (i.e., broker/dealer, investment advisor, account custodian, insurance company, etc.), including information contained in any document completed and/or executed by the client for ETFidea (i.e., advisory agreement, client information form, etc.), shall be deemed as having been automatically authorized by the client with respect to the corresponding non-affiliated third party service provider.
- We do not provide personally identifiable information to mailing list vendors or solicitors for any purpose.
- Personally identifiable information about you will be maintained during the time you are a client, and for the required time thereafter that such records are required to be maintained by federal and state securities laws and regulations, and consistent with the

CFP Board Code of Ethics and Professional Responsibility. After this required period of record retention, all such information will be destroyed.

- You may obtain information about the Securities Investors Protection Corporation (SIPC), including the SIPC brochure, by contacting SIPC at 202.371.8300 or by visiting their website at www.sipc.org.
- The Financial Industry Regulatory Authority (FINRA) was created through the consolidation of the National Association of Securities Dealers (NASD) and the member regulation, enforcement and arbitration operations of the New York Stock Exchange. The consolidation, approved by the Securities and Exchange Commission, became effective July 30, 2007. You may visit the FINRA website at www.finra.org.