

## **Guidance Investment Advisors, LLC**

### **Privacy Policy**

At Guidance Investment Advisors, LLC (“GIA”), our relationship with you is our most important asset. We are privileged that you have entrusted us with your financial affairs and are committed to safeguarding the privacy of the information we collect. As an SEC-regulated financial institution, GIA is required to obtain certain personal, nonpublic information about you. The following Privacy Policy demonstrates our commitment to the confidentiality of your personal information.

#### **HOW AND WHY WE OBTAIN PERSONAL INFORMATION**

GIA may collect this nonpublic personal information about you in any of the following ways:

- New Account Application (i.e. Social Security number, date of birth, income and assets)
- Transaction activity (types of transactions, balances)
- Information about your transactions and account experience with Guidance Investment Advisors, LLC
- Information from consumer reporting agencies (for example, to verify your identity, to assess your creditworthiness)
- Information from other outside sources regarding your employment, credit, or other relationships relevant to the services provided by us
- Passport, National Identity card, or Driver’s License, as required by laws and regulations addressing due diligence and related matters
- Demographic and other general information we obtain that allows us to develop new services that we can offer you; GIA limits the collection, use, and retention of your personal information to the extent of assisting us to properly administer our business, service your account and to continue to improve our services to you.

#### **HOW GIA PROTECTS THE COLLECTION OF YOUR INFORMATION**

GIA recognizes the importance of protecting your personal information and therefore we take the responsibility of handling both your trust and personal information extremely seriously. GIA does not sell client information to anyone. GIA does not disclose any nonpublic personal information about you, whether you are a current client or a former client, to anyone, except as permitted by law or as authorized by you. We may share your personal information that we collect “*on a strictly limited, confidential basis*” with the following entities:

- Affiliates such as service providers;
- Unaffiliated third parties such as the custodian;
- Regulatory agencies such as the SEC along with federal and state law enforcement agencies;
- Governmental agencies such as the IRS;
- Credit reporting and verification resources;
- In connection with a subpoena or similar legal process, a fraud investigation, or an audit.

GIA restricts access to your personal and account information to those associates and third parties who need to know that information to provide products or services to you on behalf of GIA or to assist you with the ongoing maintenance of your account. We maintain physical, electronic, contractual and procedural safeguards to guard your nonpublic personal information which include:

- computer safeguards, secured files and buildings;
- regular training of associates on privacy and information security, and on their obligations to protect client information;
- secure destruction of client information.

GIA will provide you with a copy of our privacy policy annually, as long as you maintain an account with us. GIA reserves the right to make changes to this policy and in so doing, we will notify you in writing before we make changes that affect the way we collect or share your information. If you are a former client of GIA, your information will be treated in the same manner as that of our current clients.

You can obtain a written copy of our Privacy Policy by emailing us at [weekly\\_update@guidancewealth.com](mailto:weekly_update@guidancewealth.com) by calling us at 1-574-333-2083.