

Turning Point Planning LLC

Privacy Policy

Revised as of April 7, 2020

Turning Point Planning LLC recognizes that our relationships with current and prospective clients are based on integrity and trust. We work hard to maintain your privacy and to preserve the private nature of our relationship with you. We place the highest value on the information you share with us. Turning Point Planning LLC will not disclose your personal information to anyone unless it is required by law or at your direction. We will not sell your personal information. Turning Point Planning LLC will provide this privacy statement to all clients annually.

We have policies to maintain the confidentiality and security of your non-public personal information. The following is designed to help you understand what information we collect from you and how we use that information to serve you.

Why We Collect Your Information

We gather information about you so that we can:

- Help design and implement the investment and planning related services we provide you; and
- Comply with the Federal and State laws and regulations that govern us.

What Information We Collect and Maintain

We may collect the following types of “nonpublic personal information” about you:

- Information you provide (including name, address, social security number, date of birth, income and other financial-related information);
- Data about your transactions with us (such as the types of investments you have made and your account status);
- Information that we generate to service your financial needs; and
- Information that we may receive from third parties with respect to your financial profile.

What Information We Disclose

We are permitted by law to disclose nonpublic information about you to unaffiliated third parties in certain circumstances. For example, in order for us to provide planning or investment management services to you, we may disclose your personal information in limited circumstances to various service providers, such as our clearing firm or independent contractors hired by Turning Point Planning LLC.

Otherwise, Turning Point Planning LLC will not disclose any personal information about you or your account(s) unless one of the following conditions is met:

- We receive your prior written consent; or
- We have documentation that the recipient is your authorized representative; or
- We are required by law to disclose information to the recipient

Arrangements with companies or independent contractors not affiliated with Turning Point Planning LLC will be subject to confidentiality agreements.

How We Protect Your Personal Information

We restrict access to non-public personal information about our clients to those employees and agents who need to know that information to provide products and services to our clients. We maintain physical, electronic and procedural safeguards to protect our clients' non-public personal information. We respect and value that you have entrusted us with your private financial information, and we will work diligently to maintain that trust. We are committed to preserving that trust by respecting your privacy as provided herein.

If you have any questions regarding this privacy notice, please contact the Chief Compliance Officer, David Frank at (310) 857-9799.