

# **YESKE BUIE INC.**

## **Privacy Policy**

Effective Date: February, 2020

Yeske Buie Inc. (herein after “Yeske Buie”) requests that you provide current and accurate financial and personal information. Yeske Buie will protect the information you have provided in a manner that is safe, secure and professional. Yeske Buie and its employees are committed to protecting your privacy and to safeguarding that information.

### **Safeguarding Client Documents**

We collect and record non-public Client data necessary to perform analyses and open Client accounts in databases and forms (Client profiles, questionnaires, account applications, subscription documents, Trusts, internal organizational records, other documents used to conduct due diligence among other purposes, and other internal documentation).

During regular business hours, access to Client records is monitored so that only those with approval may access the files. During hours in which the company is not in operation, physical Client records will be locked, and only authorized persons will have access to them. All persons with access will sign confidentiality agreements.

To safeguard your personal information hosted on an electronic platform from unauthorized access, procedural and electronic security measures have been implemented. These include such safeguards as secure passwords, encrypted file storage and a secure office environment. Our technology vendors provide security and access control over personal information and have policies over the transmission of data. Our associates are frequently trained on their responsibilities to protect Client’s personal information.

No individual who is not so authorized shall obtain or seek to obtain personal and financial Client information. No individual with authorization to access personal and financial Client information shall share that information in any manner without the specific consent of a firm principal. Failure to observe Yeske Buie procedures regarding Client privacy will result in discipline and may lead to termination.

### **Changes to Privacy Policy**

Periodically we may revise this Policy and will provide you with a revised Policy if the changes materially alter the previous Privacy Policy. We will not, however, revise our Privacy Policy to permit the sharing of non-public personal information other than as described in this notice unless we first notify you and provide you with an opportunity to prevent the information sharing.

### **Delivery of Our Privacy Policy**

Yeske Buie will send a copy of this Policy to all Clients, before or at the time of engagement and annually, for as long as an ongoing relationship is maintained with Yeske Buie.

## **Sharing Nonpublic Personal and Financial Information**

Yeske Buie does not sell your non-public personal information to anyone. Nor do we provide such information to others except for discrete and reasonable business purposes in connection with the servicing and management of our relationship with you, such as:

- When necessary to complete a transaction in a Client account, such as with an account custodian;
- When required to maintain or service a Client account;
- To resolve Client disputes or inquiries;
- With persons acting in a fiduciary or representative capacity on behalf of the Client;
- With rating agencies, persons assessing compliance with industry standards, or to the attorneys, accountants and auditors of the firm;
- In connection with a sale or merger of Yeske Buie's business;
- To protect against or prevent actual or potential fraud, identity theft, unauthorized transactions, claims or other liability;
- To comply with federal, state or local laws, rules and other applicable legal requirements;
- In connection with a written agreement to provide investment management or advisory services when the information is released for the sole purpose of providing the products or services covered by the agreement;
- In any circumstances with the Client's instruction or consent (CA Residents: explicit "written" consent required); or
- Pursuant to any other exceptions enumerated in the California Information Privacy Act.

California - In response to a California law, to be conservative, we assume accounts with California addresses do not want us to disclose personal information about you to non-affiliated third parties, except as permitted by California law. We also limit the sharing of personal information about you with our affiliates to ensure compliance with California privacy laws.

Please note Yeske Buie does not disclose and does not intend to disclose, non-public personal information to non-affiliated third parties with respect to persons who are no longer Clients of Yeske Buie.

## **Opt-Out Provisions**

Yeske Buie does not share non-public personal and financial information with affiliated or unaffiliated third parties except under the circumstances noted above. Since sharing under the circumstances noted above is necessary to service Client accounts or is mandated by law, there are no allowances made for Clients to opt out.