



CLARITY. COMMITMENT. CONFIDENCE.

Professional Financial Strategies, Inc.

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Annual Privacy Disclosure Statement—2018

Professional Financial Strategies, Inc. (“Professional Financial”), an investment advisor registered with the Securities and Exchange Commission, is committed to safeguarding the confidential information of all its clients and prospective clients. We hold all personal information provided to our firm and staff in strictest confidence.

Under the Gramm-Leach-Bliley Act of 1999, financial institutions must provide their customers with a “clear and conspicuous” notice about their privacy policies and practices; the conditions under which they disclose nonpublic personal information about consumers to nonaffiliated third parties; and how consumers can prevent the disclosure of their information. Banks and insurance companies that you do business with send such notices.

The Federal Trade Commission (FTC) subsequently defined “financial institutions” to include all those who provide “financial or investment advisory services.” In turn, the FTC rules chose to broadly interpret “financial or investment advisory activities” to cover “tax planning and tax preparation.”

In compliance with FTC rules, printed below is Professional Financial’s *Privacy Policy Disclosure Statement*. Be assured Professional Financial has always considered our professional relationship with you to be one that requires utmost trust and confidence. In order to provide you with consultative wealth management, financial planning services and particularly when income tax preparation is provided, we routinely share some of your personal data with select members of our trusted professional network who may be better positioned to assist you. We consider this information-sharing within our professional network to be a valuable part of the consultative service provided to our clients. If you do not wish this information sharing to continue for whatever reason, please contact us and we will comply with your request if it is possible within the bounds of continuing our professional relationship. Do not hesitate to call if you have any questions whatsoever about this notice.

PRIVACY POLICY DISCLOSURE STATEMENT

Professional Financial Strategies, Inc. does not disclose any nonpublic identifiable personal information about our clients without their permission to anyone except: (1) as absolutely required by law; (2) as needed by our employees to provide planning, advisory and tax services to you; (3) and to financial service providers, such as securities broker-dealers, insurance agencies, CPAs, registered tax preparers, actuaries, mortgage bankers, or legal professionals, as we, in our judgment as a group of Certified Financial Planners working within Professional Financial, deem may be worthwhile or beneficial to you. We maintain physical, electronic, and procedural safeguards that comply with federal regulations to guard your nonpublic personal information.

Certified Financial Planner licensed practitioners, as a matter of professional integrity and our code of ethics, are bound to maintain client confidentiality. If you have any concerns about the possible disclosure of your personal information to third parties, or wish to stop any disclosure that has been noted above, you may contact me directly at (585) 218-9292, email me at paulhill@professionalfinancial.com or write to me at the above address.

Sincerely yours,

Paul Byron Hill, CFP
President and Chief Compliance Officer