



**PROFESSIONAL FINANCIAL STRATEGIES, INC.**  
**ANNUAL PRIVACY NOTICE—2021**

Professional Financial Strategies, Inc. (referred to as “Professional Financial”) maintains physical, electronic, and procedural safeguards that comply with federal standards to protect its clients’ nonpublic personal information (“information”). Through this policy and its underlying procedures, Professional Financial attempts to secure the confidentiality of customer records and information and protect against anticipated threats or hazards to the security or integrity of customer records and information.

It is the policy of Professional Financial to restrict access to all current and former clients’ information (i.e., information and records pertaining to personal background, investment objectives, financial situation, tax information/returns, investment holdings, account numbers, account balances, etc.) to those employees and affiliated/nonaffiliated entities who need to know that information in order to provide products or services in furtherance of the client’s engagement of us. In that regard, we may disclose the client’s information: (1) to individuals and/or entities not affiliated with Professional Financial, including, but not limited to the client’s other professional advisors and/or certain service providers that may be recommended or engaged by us in furtherance of the client’s engagement of Professional Financial (i.e., attorney, accountant, insurance agent, broker-dealer, investment adviser, account custodian, record keeper, proxy management service provider, etc.); (2) required to do so by judicial or regulatory process; or (3) otherwise permitted to do so in accordance with the parameters of applicable federal and/or state privacy regulations. The disclosure of information contained in any document completed by the client for processing and/or transmittal by Professional Financial to facilitate the commencement/continuation/termination of a business relationship between client and/or between us and a nonaffiliated third party service provider (i.e., broker-dealer, investment adviser, account custodian, record keeper, insurance company, etc.), including, but not limited to, information contained in any document completed and/or executed by the client in furtherance of the client’s engagement of Professional Financial (i.e., advisory agreement, client information form, etc.), shall be deemed as having been automatically authorized by client with respect to the corresponding nonaffiliated third party service provider.

Professional Financial permits only authorized employees and affiliates who have signed a copy of our Privacy Policy to have access to client information. Employees violating Professional’s Privacy Policy will be subject to our disciplinary process. Additionally, whenever Professional Financial hires other organizations to provide services to our clients, Professional Financial will require them to sign confidentiality agreements and/or the Privacy Policy. Should you have any questions regarding the above, please contact Paul Byron Hill, Chief Compliance Officer.



## Professional Financial Strategies, Inc.

PO Box 999, Pittsford, NY 14534-0999

# Annual Notice to Clients of Professional Financial Strategies, Inc.

Professional Financial's updated disclosure statement is set forth in our ADV Part 2A ("*Firm Brochure*") as an investment adviser registered with the Securities and Exchange Commission.

Pursuant to disclosure requirements placed upon registered investment advisers, we are required to annually offer each client a written copy of our most current *Firm Brochure*. The *Firm Brochure* discusses information pertaining to our current advisory business services and practices, and schedule of fees.

Here is a link to the brochure on the SEC adviser information website:

[https://files.adviserinfo.sec.gov/IAPD/Content/Common/crd\\_iapd\\_Brochure.aspx?BRCHR\\_VRSN\\_ID=630415](https://files.adviserinfo.sec.gov/IAPD/Content/Common/crd_iapd_Brochure.aspx?BRCHR_VRSN_ID=630415)

Professional Financial's *Firm Brochure* contains a summary of material changes regarding our firm and its employees since our last annual amendment filing. Please direct any questions regarding our *Firm Brochure* to Paul Byron Hill, our Chief Compliance Officer. If you would like a printed copy, please reply to this email or send a letter to our office address below. There is no charge for a single copy. Additional ADV Part 1 filing information is available at <http://www.adviserinfo.sec.gov>. Professional Financial's SEC file number is **801-107130**.

Professional Financial Strategies, Inc. continues to manage your portfolio strategies in accordance with the investment policy statement you last approved and do so in the same manner. Unless you advise us otherwise, in writing, we will assume that your planning objectives and circumstances remain the same.

Of course, as always, should you have any questions or concerns regarding your wealth management, retirement planning or investment management, we will continue to remain available to address them.

Paul Byron Hill, *CFP*

*Chief Compliance Officer*

[paulhill@professionalfinancial.com](mailto:paulhill@professionalfinancial.com)

March 31, 2020