

## **Privacy Policy**

*Last Modified: 03/31/2026*

Protecting your privacy is very important to us. Our goal is to treat the personal information you furnish us with the utmost respect and in accordance with this Privacy Policy. We request that you carefully read this Privacy Policy and our Terms of Use before using the website. By visiting, viewing or using the website in any manner, you are agreeing to the terms set forth in this Privacy Policy, as well as the Terms of Use for the website.

This policy describes the types of personally identifiable information (“PII”) and nonpublic personal information (“NPI”) we may collect from you or that you may provide when you visit our website and our practices for collecting, using, maintaining, protecting and disclosing that information. PII may include information such as your name, social security number, address, phone number, ZIP code, email address and similar information. For clients, we also collect and maintain NPI, which includes information you provide to us in connection with obtaining financial products or services, information about your transactions with us or others, and information we receive from third parties such as custodians, brokers, or other service providers.

### **Client Privacy Notice (Regulation S-P)**

This notice is provided in accordance with Regulation S-P and applies to current and former clients of the firm. It describes our practices regarding the collection, use, and disclosure of nonpublic personal information (“NPI”).

### **Personal Information We Collect and How We Collect It**

You can visit us on the internet without telling us who you are or revealing any information about yourself, including your email address. In this case, our web servers may collect the name of the domain you used to access the internet (such as aol.com) and the website you came from and visit next. This information is used by us and our business partners to measure the number of visits, average time spent, page views and other statistics about visitors to our website in general. We also use this data to monitor site performance and to make the site easier and more convenient to use.

There are times when we may ask you for information about yourself to assist us in meeting your various needs. In these cases, your browsing will no longer be anonymous to us. To provide these services, we may need to ask you directly to provide, among other things, certain personal information, including the PII described above.

Please note that we do not knowingly solicit information from children and we do not knowingly market our products or services to children.

## **How We Use Your Information**

We may use information that we collect about you for legitimate business purposes, including:

- Providing advisory and related services
- Servicing your account and responding to your requests
- Complying with legal and regulatory obligations
- Improving our services and website functionality
- Communicating with you regarding your relationship with us

## **Protection of Your Information**

We maintain a variety of security measures to protect against the loss, misuse and alteration of information under our control. Although we make good-faith efforts to maintain the security of such information, we cannot guarantee that it will remain free from unauthorized access, use, disclosure or alteration. Further, we cannot guarantee that our security measures will prevent unauthorized persons from accessing or obtaining this information.

## **Notification in the Event of Data Breach**

As previously stated, although we make good-faith efforts to maintain the security of your information, we cannot guarantee that it will remain free from unauthorized access, use, disclosure or alteration. In the event of a data breach involving your personal information, we will investigate the incident, take appropriate remedial actions, and provide notification to affected individuals in accordance with applicable federal and state laws.

## **Accessing or Correcting Your Information**

You may access the data collected by us about you by sending a request to the address listed below. If you believe that an error has been made in the accuracy of the information collected from you, we will correct such error upon adequate verification of the error and the identity of the person seeking the correction.

If you wish to access, remove or correct any personally identifying information you have supplied to us or if you have any questions about this Privacy Policy, you may contact us by sending a letter via the U.S. Mail to: 389 William R Latham Senior Dr., Bourbonnais, IL 60914. Please understand that to protect your privacy and security, we may also need to take reasonable steps to verify your identity before granting access or making corrections.

## **Sharing Information**

We do not disclose nonpublic personal information about our clients or former clients to nonaffiliated third parties, except as permitted by law. For purposes of this notice,

“affiliates” means companies related by common ownership or control. These permitted disclosures include, for example:

- To service providers that assist us in operating our business (e.g., custodians, technology providers, compliance consultants)
- To regulatory authorities or as required by law
- To protect against fraud or unauthorized transactions

We do not sell your personal information to third parties.

### **Opt-Out Rights**

Because we only share information as permitted by law, clients do not have the right to opt out of these disclosures.

### **Website Privacy Practices (Non-Client Users)**

If you are browsing, a cookie is used to help us measure the number of visits, average time spent, page views and other statistics relating to our website. This cookie, by itself, does not reveal to us your email address or who you are. If you decide to register online with us, we may collect additional information to provide tailored offerings or content to you. In this case, we use cookies to recognize you on subsequent visits and make your online experience more convenient.

Cookies are small pieces of data stored by your internet browser on your computer's hard drive. They cannot be used to collect data from your hard drive, obtain your email address or personal identifying information about you. You may set your browser to notify you when you receive a cookie or to prevent cookies from being sent. Please note, however, that by not accepting cookies, you will limit the functionality we can provide you when you visit our site.

### **Handling of ‘Do Not Track’ Signals**

The California Online Privacy Protection Act provides that a website operator must:

“Disclose how the operator responds to web browser ‘do not track’ signals or other mechanisms that provide consumers the ability to exercise choice regarding the collection of personally identifiable information about an individual consumer’s online activities over time and across third-party websites or online services, if the operator engages in that collection.”

It is important for you to know that we do not engage in the type of collection referenced in the California law.

**Changes to This Privacy Policy**

We reserve the right to modify or supplement this Privacy Policy statement at any time. If we make any material change, we will update our website to include such changes. If we make material changes to this notice, we will provide updated disclosures as required by law and revise the “Last Modified” date above. You are responsible for periodically visiting our website and this privacy policy to check for any changes.

**Annual Privacy Notice Delivery**

We will provide this privacy notice to clients at the time of establishing a relationship and annually thereafter, as required by applicable law.

**Contact Information**

To ask questions or comment about this privacy policy and our privacy practices, contact us at: [info@rootedretirement.com](mailto:info@rootedretirement.com) or 866.766.8332.