Whelan
Financial Planning

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PRIVACY STATEMENT

We at Whelan Financial Planning value your trust and confidence and carefully handle the nonpublic personal information we possess. This information will generally include:

- ✓ Information provided from applications, forms and other information provided to us either verbally or in writing. This includes, but is not limited to, your name, address, phone number, account information, social security number, employment, assets, income and debt.
- ✓ Information about your transactions, accounts, trading activity, and parties to transactions.
- ✓ Information from other outside sources
- ✓ Any other information that is deemed to be nonpublic personal information as defined by the Gramm-Leach-Bliley Act and by the SEC's Privacy Rule, to which most state-regulated Investment Advisory Firms defer.

We will NEVER sell our Clients' nonpublic personal information to any other person or entity. We will only share information when you have directed us to do so with a written authorization or by application to facilitate a financial service offered through our firm or where we may be required to provide information by law or regulation.

Here are some examples of when information may be provided according to the aforementioned:

- ✓ You may authorize us to share information with your personal accountant.
- ✓ You may desire to utilize insurance or investment services with an unaffiliated financial services firm (broker/dealer, custodian, trust department or insurance company).
- ✓ Whelan Financial Planning is regulated by the New York State Securities Division. We may be subject audits by New York State regulators to ensure compliance with their rules and regulations. We are required to open our books and records for review by these regulators.

Whelan Financial Planning restricts access to its records to only those persons who have a need to obtain information in order to deliver advisory or administrative services.

If you have any questions or concerns regarding our privacy policy and procedures, please contact Maureen A. Whelan, CFP® at 1-800-775-8564 or at maureen@mawhelanfinancial.com.