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Thompson Wealth Advisors Privacy Notice

Customer Privacy Notice

Protecting client privacy is very important to Thompson Financial Services, Inc. doing business as Thompson Wealth Advisors. Thompson Wealth Advisors views protecting its customers' private information as a top priority and pursuant to the requirements of the Gramm-Leach Bliley Act, the Firm has instituted policies and procedures to ensure that customer information is kept private and secure.

Except as required or permitted by law, we do not share confidential information about you with nonaffiliated third parties. In the unlikely event there were to be a change in this fundamental policy that would permit additional disclosures of your confidential information, we will provide written notice to you, and you will be given an opportunity to direct us as to whether such disclosure is permissible.

Customer Information We Collect

We collect and develop personal information about you, and some of that information is nonpublic personal information ("Customer Information"). The essential purpose for collecting Customer Information is to provide and service the financial products and services you obtain from our Firm. The categories of Customer Information collected by us depend upon the scope of the engagement with us and are generally described below. As an investment adviser, we collect and develop Customer Information about you in order to provide investment advisory services.

Customer information we collect includes:

- Information we receive from you on financial inventories through consultation with our representatives. This Customer Information may include personal and household information such as income, spending habits, investment objectives, financial goals, statements of account, and other records concerning your financial condition and assets, together with information concerning employee benefits and retirement plan interests, wills, trusts, mortgages and tax returns.
- Information developed as part of financial plans, analyses or investment advisory service.
- Information concerning investment advisory account transactions, such as wrap account transactions.
- Information about your financial products and services transactions with us.

Data Security

We restrict access to Customer Information to those representatives and employees who need the information to perform their job responsibilities within our Firm. We maintain agreements, as well as physical, electronic and procedural securities measures that comply with federal regulations to safeguard Customer Information about you.

Use and Disclosure of Customer Information to Provide Customer Service for Your Accounts

To administer, manage and service customer accounts, process transactions and provide related services for your accounts, it is necessary for us to provide access to Customer Information within our Firm and to nonaffiliated companies such as TD Ameritrade, other investment advisers, other broker-dealers, trust companies, custodians and insurance companies. We may also provide Customer Information outside of our Firm as permitted by law, such as to government entities, consumer reporting agencies or other third parties in response to subpoenas.

Former Clients

If you close an account with our Firm, we will continue to operate in accordance with the principles stated in the Notice.

Requirements of Federal Law

In November of 1999, Congress enacted the Gramm-Leach-Bliley Act ("GLBA"). The GLBA requires certain financial institutions, including broker-dealers and investment advisers, to than as permitted or required by law, customers must be given the opportunity and means to opt our (or prevent) such disclosure. Please note that we do not disclose Customer Information to nonaffiliated third parties except as permitted or required by law (e.g., disclosures to service your account or to respond to subpoenas).

You have provided us with certain Nonpublic Personal Financial Information in connection with establishing your account and providing investment advisory services. This Information will generally be derived from information we receive from you on questionnaires or other forms, and information about your securities transactions with us or other advisers and broker/dealers which may be providing financial services to you.

We restrict access to your personal and account information to our personnel and third-party service providers on a "need to know" basis in order to provide products or services to you. We always maintain physical, electronic, and procedural safeguards to guard your non-public personal information.

We do not disclose any Nonpublic Personal Financial Information about you to anyone, except as permitted by law.