



2018

## Fleming Wealth Strategies, LLC Privacy Notice

Fleming Wealth Strategies, LLC views protecting your private information as a top priority. Pursuant to applicable privacy requirements, we have instituted policies and procedures to ensure that we keep your personal information private and secure.

In November of 1999, Congress enacted the Gramm-Leach-Bliley Act (GLBA). The GLBA requires certain financial institutions, such as investment advisor firms, to protect the privacy of customer information. In situations where a financial institution does disclose customer information to nonaffiliated third parties, other than permitted or required by law, customers must be given the opportunity to opt out or prevent such disclosure.

In the course of servicing your account, Fleming Wealth Strategies, LLC may share some information with our service providers such as transfer agents, custodians, broker-dealers, accountants, consultants, and attorneys. We may collect personal information from sources such as:

- Information reported by the client on applications or other forms the client provides to Fleming Wealth Strategies, LLC.
- Information about the client's transactions implemented by Fleming Wealth Strategies, LLC or others.
- Information developed as part of financial plans, analysis, or investment advisory services.

We restrict internal access to nonpublic personal information about you, to our employees, who need that information in order to provide products or services to you. We maintain physical and procedural safeguards that comply with regulatory standards to guard your nonpublic personal information and to ensure our integrity and confidentiality.

We will not sell information about you or your accounts to anyone. We do not share your information unless it is required to process a transaction or a service request from you, where we receive your permission, or required by law.

You will receive a copy of our privacy notice prior to or at the time you sign an advisory agreement with our firm. Thereafter, we will deliver a copy of the current privacy policy notice to you on an annual basis. Please contact our main office at the telephone number below or on our website if you have any questions regarding this policy.

**480-265-9119**

[www.flemingwealthstrategies.com](http://www.flemingwealthstrategies.com)