

The Advisory Group Privacy Policy 2010

The Advisory Group (TAG) recognizes that its customers have an expectation that **The Advisory Group** and its affiliates will maintain the confidentiality of customers' nonpublic personal information. As a result, **The Advisory Group** has adopted this Privacy Policy concerning information that you provide and information that is obtained in servicing your account.

Information about you is collected for purposes of administering your account or accounts with us. We collect information about you for specific business purposes and not for resale or transfer to unaffiliated parties. The information we collect, the source of the information and the purpose it is used for are explained below. If you close your account with us or it becomes inactive, TAG will adhere to the privacy policies and practices described in this notice.

Information Collected

Nonpublic personal information is collected and retained by TAG for the purpose of providing general financial planning advice and administering your account. It is not furnished to third parties without your permission for any purpose other than to administer the account or as required by regulatory organizations. The information we collect can be summarized as follows:

1. *Account Establishment Information.* This is information furnished by you on forms creating your account with TAG and/or its affiliated companies. Examples are your name and address, Social Security number, other family or financial information, and beneficiary designations.
2. *Account Transaction Information.* This includes information obtained from you and the various entities that comprise the assets in your account. It includes correspondence and phone contact with us concerning the account, account assets, and our services. If the account was transferred from another financial institution, it may contain records from that institution.
3. *Personal Planning Information.* This includes information obtained from you regarding other aspects of your personal situation which may be requested to provide financial planning advice. Examples are copies of taxes, trusts, personal goals, family situation information and employment information.

Nonpublic Information That is Disclosed

All information in your account may be disclosed to any person or entity you have authorized in accordance with your account establishment documents. In addition, information may be disclosed to affiliated or non-affiliated third parties to further your goals in establishing an account with **The Advisory Group**. Categories of information that are disclosed are as follows:

1. *Identifying Information.* Examples of this information include your name, address and Social Security or tax identification number.
2. *Transaction Information.* Examples include your directives to purchase or sell an asset in your account and the receipt of income to the account or distributions from the account.
3. *Regulatory Information.* **The Advisory Group** may provide general financial and personal information required by supervisory and regulatory organizations. Examples include age, net worth, incomes, and tax brackets. This information is retained at **The Advisory Group** and forwarded to the regulatory bodies and may be retained in their files.

Parties To Whom We May Disclose Nonpublic Information

The Advisory Group does not disclose nonpublic personal information about our clients to any party, except as permitted or required by law. TAG may disclose both identification and transaction information to affiliated and non-affiliated parties for the following reasons:

1. *Financial Services Providers.* Examples are brokers, transfer agents, mutual fund companies or other representatives of the seller or purchaser of the asset or a firm that provides valuations for securities.
2. *Non-financial Companies.* Examples are companies that mail reports and prospectus to you, statement printers, company correspondence, and tax form providers.
3. *Regulatory Organizations.* Examples include the Financial Industry Regulatory Authority (FINRA) and the Securities and Exchange Commission (SEC).
4. *Entities with Your Authorization.* If you specifically designate someone as authorized to receive information regarding your account, we can provide them with your information in accordance with your request or as they request within the guidelines you have set out for us.
5. *Response to Subpoenas or Other Legal Process.* Specifically requested information will be provided as required by law or to comply with regulatory inquiries.

How **The Advisory Group** Protects the Confidentiality of Your Nonpublic Personal Information

The Advisory Group and its affiliates value the trust you place in us. To maintain that trust, we have put into place safeguards to protect the privacy of your nonpublic personal information. We do not sell or trade your information with non-affiliated companies. TAG cannot be responsible for the actions of third parties, however when information is provided to third party providers to service your account, safeguards are in place to try to make certain that the information is used only for the purpose it is provided.

Internally, **The Advisory Group** maintains its records on secured computers. Once hired, employees are advised of **The Advisory Group** privacy policies and of the confidential nature of the information they handle.

Protection of Electronic Client Information

The Advisory Group may provide and maintain client information electronically via online internet access. Sharing of this information electronically would include but not be limited to FSC Securities Corporation, Vision2020, service providers such as clearing firms or service bureaus, affiliated companies, accounting firms, attorneys, financial institutions and client lockbox or client online data management. Access to client information shall require password protection.

The Advisory Group prohibits any employee from sending any type of data that can commonly be referred to as "privacy data" via E-mail. This includes but is not limited to social security numbers, credit card numbers, driver's licenses and ABA bank routing numbers.

Disposal of Client Information and Records

The Advisory Group disposes of printed client information and records via secured shredding.

Questions or Comments

Any questions or comments regarding **The Advisory Group's** Privacy Policies should be address to **The Advisory Group's** Chief Compliance Officer, located in The Advisory Group's main office. Your suggestions on how to improve our service are welcome.