

**Sullivan Financial Planning, LLC**  
**Customer Information Privacy Principles**

Like most industries, the financial services industry is rapidly being shaped by technology. To be successful in this environment, we must continue to ensure that our customers are confident that we will manage their financial affairs expertly and confidentially.

At Sullivan Financial Planning, we use technology to manage and maintain certain customer information. Whatever information is used is with discretion. To affirm our continuing commitment to the proper use of customer information, we have set forth the following privacy principles.

**Recognition of a customer's expectation of privacy:** Sullivan Financial Planning believes the confidentiality and protection of customer information is one of our fundamental responsibilities. Thus, the safekeeping of customer information is a priority for Sullivan Financial Planning.

**Use, collection, and retention of customer information:** Sullivan Financial Planning limits the use, collection, and retention of customer information to what is necessary or useful to create financial plans. Information collected may include, but not be limited to: name, address, phone number, e-mail, date of birth, employment status, annual income, and net worth.

**Maintenance of accurate information:** Sullivan Financial Planning has established procedures to maintain the accuracy of customer information and keep such information current. These procedures include responding to requests to correct inaccurate information in a timely manner.

**Limiting employee access to information:** At times, assistants will be employed to help with administrative and planning tasks. Employee or contractor access to customer data will be limited to those with a business reason to know such information. Employees/contractors are educated on the importance of these privacy principles. Employees/contractors who violate the privacy principles are subject to dismissal.

**Protection of information via established security procedures:** Sullivan Financial Planning has established appropriate security standards and procedures to guard against unauthorized access to customer information.

**Restrictions on the disclosure of customer information:** Sullivan Financial Planning may, only at the client's request, share client contact information to referral partners such as accountants, insurance agents, attorneys, or other financial advisers. If the client does not specifically request an introduction to a referral or third party, none will be made.

**Disclosure of privacy principles to customers:** Customers who have questions about these privacy principles are welcome to contact Kristi Sullivan at 303-324-0014 or [Kristi@sullivanfinancialplanning.com](mailto:Kristi@sullivanfinancialplanning.com).

These privacy principles are subject to change without notice. They are for general guidance and do not constitute a contract or create legal rights and do not modify or amend any agreements we have with our customers.