

## “CLIENT PRIVACY NOTICE”

Keeler & Nadler Financial Planning and Wealth Management, LLC (“the Company”) is an Ohio Limited Liability Company (“LLC”) and an SEC registered investment Advisor in the business of providing investment advisory services and retirement planning and consulting services to clients. We are committed to safeguarding the confidential information of our clients. We hold all personal information provided to our firm in the strictest confidence. We may have relationships with other non-affiliated firms, including but not limited to investment advisors, broker-dealers, insurance companies, trust companies, custodians, and other financial services entities. Except as required or permitted by law, we do not share confidential information about you with non-affiliated third parties. In the unlikely event that there were to be a change in this fundamental policy that would permit or require 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.

### **AN IMPORTANT NOTICE CONCERNING OUR CLIENTS’ PRIVACY**

#### **CLIENT INFORMATION WE COLLECT:**

We collect and develop personal information about you, and some of that information is non-public personal information (“Client Information”). The essential purpose for collecting Client Information is to provide and service the financial products and services you obtain from our firm. The categories of Client Information collected by Keeler & Nadler Financial Planning and Wealth Management, LLC depend upon the scope of your engagement with us and are generally described below. As an investment advisor, we collect and develop Client Information about you in order to provide investment advisory services. Client Information we collect include the following:

- Information we receive from you on our questionnaires relating to financial inventories through consultation with you. This Client 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 services.
- Information concerning investment advisory account transactions.
- Information about your financial products and services transactions with us.

#### **DATA SECURITY**

We restrict access to Client 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 security measures that comply with federal regulations to safeguard Client Information about you.

## **USE AND DISCLOSURE OF CLIENT INFORMATION TO PROVIDE CLIENT SERVICE FOR YOUR ACCOUNT**

To administer, manage and service client accounts, process transactions and provide related services to your accounts, it is necessary for us to provide access to Client Information within our firm and to non-affiliated companies; such as, and including other investment advisors, broker-dealers, trust companies, custodians and insurance companies. We may also provide Client Information outside of our firm as permitted by law to entities such as government agencies, consumer reporting agencies or other third parties in response to subpoenas.

### **FORMER CLIENTS**

If your relationship with our firm has ended, we will continue to operate in accordance with the principles stated in the Client Privacy Notice.

### **REQUIREMENTS OF FEDERAL LAW**

In November 1999, Congress enacted the Gramm-Leach-Bliley Act (“GLBA”). The GLBA requires certain financial institutions, including broker-dealers and investment Advisors, to protect the privacy of Customer Information. To the extent a financial institution discloses Client Information to non-affiliated third parties other than as permitted or required by law, clients must be given the opportunity and means to opt out (or prevent) such disclosure. Please note that we do not disclose Client Information to non-affiliated third parties except as permitted or required by law (e.g., disclosures to service your account or to respond to subpoenas).

Pursuant to the privacy policy, the investment advisor representative who was the client’s primary contact with the advisor will have the right to retain a copy of the client’s personal information in the event he or she leaves the advisor, retires or sells his or her practice. The Client may limit the sharing of any nonpublic information about them that may be retained by such a non-affiliated third party by calling the advisor’s compliance department. Should you have any questions or would like to speak to someone regarding this Client Privacy Notice, please write or call Andrew P. Keeler, President and Chief Compliance Officer, Keeler & Nadler Financial Planning and Wealth Management, LLC, 485 Metro Place South, Suite 100, Dublin, Ohio 43017. Telephone Number: 614-791-4123.