

PRIVACY POLICY NOTICE

Carpenter, Claydon Advisors, Inc. Privacy Notice

Carpenter, Claydon Advisors, Inc. ("CCA") believes it is essential that we maintain the privacy of nonpublic personal information that you provide to us and that we obtain in connection with providing our products and services to you.

Information we Collect

CCA limits the use, collection, and retention of customer information to what we believe is necessary or useful to conduct our business, provide quality service, and offer products, services, and other opportunities that may be of interest to our customers. Information collected may include, but is not limited to name, address, telephone number, tax identification number, date of birth, employment status, annual income, and net worth.

In providing products and services to you, we collect nonpublic personal information about you from these sources:

1. Investment/insurance applications, new account forms and other forms and agreements;
2. Transactions with us, our clearing firm, or other chosen investment sponsors; and
3. Other various materials we may use to put forth an appropriate recommendation or to fill a service request.

Information we Disclose

As a general rule, we do not disclose this nonpublic personal information to others. However, we rely on certain third parties for services that are necessary to enable us to provide our advisory services to you. These may include our attorneys, auditors, brokers, and custodians who, in the ordinary course of providing their services to us, may require access to information containing your nonpublic personal information. In addition, we may disclose your nonpublic personal information to others with your consent, where required by law or judicial process (such as a court order), or otherwise to the extent permitted under the federal privacy laws.

Safeguards for Protecting your Privacy

If you decide to close your account(s) or become an inactive customer, we will adhere to the privacy policies and practices as described in this notice.

We restrict access to nonpublic personal information about you to those employees who need to know that information to provide our products or services to you. We maintain physical, electronic, and procedural safeguards that comply with federal standards to guard your nonpublic personal information.

If you have questions about this privacy policy, please call Deborah Claydon at (407) 843-0316.