

Privacy Notice

Hartfield Financial and Insurance Services, Inc.

We take pride in guarding your privacy. We are committed to protecting the privacy and security of your personal and financial data.

We provide products and services that involve private and sensitive data. Guarding and keeping it safe is vital to us. This notice explains our data policies and practices. First, we want to inform you about our data sharing policies. We do this because you are a valued customer.

We collect only the minimum data required to deliver products and services to you.

The data we collect varies with the type of product you request and may include:

Application Data	Data you give us or the investment companies or insurers we represent. The data may change depending upon the type of investment or policy you purchase. Examples are your assets, income, social security number, medical records, family data, address, employer(s), and account or policy data etc.
Employer Data	Data from your employer, benefit plan sponsor etc on any group products we may provide. Examples are your name, address, income, medical records, family data, job description and social security number(s) etc.
Transaction and Experience Data	Data about your contacts with our business partners and us. Examples are investment experience and additions, payment history, beneficiary changes, ownership changes, medical or dental or vision claims, disability claims, long term care claims etc.
Third Parties	As it relates to risk management products or services life, health, long term care and disability insurance, Physical Examination services, doctors/dentists regarding claim resolution etc.

We limit how, when and where we share your data.

First	We do not sell your personal, financial or medical data to anybody.
Second	We do not share your medical data for any purpose other than to complete a matter requested by you or if the law allows or requires it.

Third We do not share personal or financial data with anyone unless allowed or required by law or with your permission.

We share only the minimum necessary data to complete the matter or service. We may disclose all the data described above. All registered representatives and licensed agents in our office are authorized to assist with your account or process requests. Examples when we may share data include:

- a) Service your account or policy such as ID Cards, billing and payment data etc.
- b) Establish eligibility for benefits, process or research a claim.
- c) Process a request by you such as an address change, adding or deleting a spouse or child, changing coverage levels, changing beneficiaries etc.
- d) Protect your account or policy from fraud or theft.
- e) Underwrite a policy or obtaining quotes for insurance coverage.
- f) Perform business functions for our company.
- g) Process investment transactions or discuss investments with you (registered representatives only).

We may share data with the following persons or entities when you purchase an investment or insurance product through our company. We share your data only with the entities necessary to complete the transaction or provide the service. When legally possible we require those we share your data with to maintain its security. These include:

TYPE	EXAMPLES
Our Support Help	Computer services, claim processors, mailing firms, attorney, CPA etc.
Money Managers	Investment management firms, clearing firms, broker/dealers, etc.
Insurance Support Groups	Insurance physical exam firms, insurance enrollment services, computer quoting services etc.
Insurance Firms	General agents, agents who we have servicing agreements with and third party administrators etc.
Medical, Dental and Vision Services Providers	Physicians, dentists, hospitals, etc you have seen or used.
Insurance Entity or HMO	Carriers or insurers you have coverage through or we are requesting a quote from etc
Law Enforcement,	In response to a regulator, subpoena, a court order, to

Regulators, or the Courts obtain government benefits, stop fraud or theft etc

Group Policy Holders Employers or groups you have coverage through etc.

Lien Holders and Co-Owners Others with a legal interest in the account or policy etc

Business Who Intend to Buy Other financial firms, insurers or agents who intend to buy our business in whole or in part, etc.

We maintain physical, electronic, and administrative safeguards to insure the protection of data. Only registered representatives, agents and service personal from our firm have access to data. We have installed physical and electronic measures such as virus and firewall protection and other means to protect your data. We physically secure your data and train staff about their duty to protect your data.

You have the right to access, copy, review and request correction of the data we collect and maintain. We act on all requests made to us in writing within 30 days of receipt. We may charge a reasonable fee for copies if necessary. In the event you believe there is an error in your data, you may request in writing that it be corrected. We will notify you within 30 days of receiving the request to correct the data that it has been corrected or inform you why we are unable to make the requested change with an explanation. If you disagree in any way, you may supply us with a short statement why you disagree. It will be filed with your personal data. You may contact our privacy officer with any questions at (805) 522-5815.

We will renew our Privacy Promise to you in writing yearly.

We may change our privacy polices and practices from time to time. These changes may be a result of new laws or regulations, court rulings, changing business practices etc. If we do make material changes, we will notify you prior to making them. You may contact our office at any time to get a copy or our latest privacy policy.

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