

Privacy Policy Information

Facts

What does 401(K) CERTIFIED INDEPENDENT INVESTMENT ADVISORS, LLC (“401(k) CIIA”) do with your personal information?

Why?

Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.

What?

The types of personal information we collect and share depend on the service that we provide to you. This information can include, but would not be limited to:

- your social security number and income;
- your address and date of birth; and
- your account balances and transactions.

How?

Financial companies typically need to share customers’ personal information internally in order to run their everyday business - to process transactions, maintain or service customer accounts, and report to credit bureaus. In the section below, we list the reasons many financial companies can share their customers’ personal information; the reasons 401(k) CIIA chooses to share your information; and whether you can limit this sharing.

Reasons we can share your personal information	Does 401(k) CIIA share?	Can you limit this sharing?
For our everyday business purposes - To process your transactions, open accounts, and report to credit bureaus	Yes	No
For our marketing purposes - To offer our products and services to you	Yes	No
For joint marketing with other financial companies	No	N/A - We don’t share
For our affiliates’ everyday business purposes - Information about your transactions and experience	No	N/A - We don’t share
For our affiliates’ everyday business purposes - Information about your creditworthiness	No	N/A - We don’t share
For our affiliates to market to you	No	N/A - We don’t share
For non-affiliates to market to you	No	N/A - We don’t share

Contact Us

Call 561-296-3331 or email Craig@tappss.com

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What Does 401(k) CIIA Do
With Your Personal Information?

Sharing practices

How often does 401(k) CIIA notify me about their practices?	We must notify you about our sharing practices when you engage our services and each year while you are a customer.
How does 401(k) CIIA protect my personal information?	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and offices.
How does 401(k) CIIA collect my personal information?	We collect certain personal information from you, for example, when you open an account.
Why can't I limit all sharing?	Federal law gives you the right to limit sharing only for <ul style="list-style-type: none">▪ affiliates' everyday business purposes - information about your creditworthiness;▪ affiliates to market to you; and▪ non-affiliates to market to you. State laws and individual companies may give you additional rights to limit sharing.
How does 401(k) CIIA treat my personal information once I am no longer a customer?	The firm will provide nonpublic information about former customers only if required to do so by law or regulation or to those parties who need such information in order for the firm to carry out any continued obligation with respect to the services covered by the former adviser/customer relationship.

Definitions

Everyday business purposes	The actions necessary by financial companies to run their businesses and manage customer accounts, such as <ul style="list-style-type: none">▪ processing transactions, mailing, and auditing services;▪ providing information to credit bureaus; and/or▪ responding to court orders and legal investigations.
Affiliates	Companies related by common ownership or control. They can be financial and non-financial companies.
Non-affiliates	Companies not related by common ownership or control. They can be financial and non-financial companies. <ul style="list-style-type: none">▪ 401(k) CIIA does not share with non-affiliates so they can market to you.
Joint Marketing	A formal agreement between non-affiliated financial companies that together market financial products or services to you. <ul style="list-style-type: none">▪ 401(k) CIIA does not jointly market.