



March 2023

Dear Client,

Please take a moment to read the attached notice regarding your privacy. We at Secure Planning are committed to providing you with the highest quality of service, including protecting your personal information.

This is not a new policy but is another opportunity to show our valued clients that we are committed to keeping all personal client information *private and confidential*. Included with this letter is our Customer Privacy Notice.

**You do not need to take any action because of this notice, but you have certain rights described in this notice.**

We would also like to take this opportunity to provide you with our contact information. Your registered representative is available to service your account and answer questions or concerns that you may have. If you believe you have received this notice in error or have any direct complaints regarding your account, please direct them to:

Secure Planning, LLC  
Attn: Compliance  
42 Middle Street  
Portsmouth, NH 03801

Also available upon request is our updated ADV Disclosure Brochure for Secure Planning LLC, which provides information related to our investment advisory business. We have the following material changes since our last annual amendment, dated March 1, 2023. You find the most updated Disclosure Brochure & Disclosure Supplements at the following web address:

<https://www.secureplanning.com/content/secure-planning-disclosures>

If you have any questions regarding the Privacy Notice or our ADV Disclosure Brochure, please do not hesitate to contact us

Sincerely,

A handwritten signature in black ink, appearing to read "E. Mallon".

Edward J. Mallon, President

42 Middle Street  
Portsmouth, NH 03801  
Tel 603-433-5515  
Fax 603-433-6023  
[www.secureplanning.com](http://www.secureplanning.com)

# Secure Planning, LLC

## PRIVACY PRACTICES NOTICE

Secure Planning, LLC is committed to protecting the privacy of our customers and former customers. In order to issue and service high quality financial products and services, we collect personal information about you. We do not sell the information you have entrusted to us to third parties, and we disclose your personal information only as necessary to provide the products and services you expect from a financial services leader. To help you understand how we protect your personal information, this notice describes our current privacy policy and practices. During the continuation of your relationship with Secure Planning, LLC, we will advise you of our privacy policy and practices at least once annually, as required by law.

You do not need to take any action as a result of this notice, but you do have certain rights as described below.

### INFORMATION WE COLLECT

We obtain nonpublic information about individuals in order to provide financial products or services. We collect information about individuals from applications or other forms, and transactions with us, our affiliates, or others.

### HOW WE TREAT YOUR INFORMATION

We treat information in a confidential manner. Our employees are required to protect the confidentiality of the information we receive. Employees may access information only when there is an appropriate reason to do so, such as to administer or offer our products and services.

We also maintain physical, electronic, and procedural safeguards to protect information; these safeguards comply with all applicable laws. Our commitment to data security involves monitoring new advances in security technology to ensure that we provide the highest level of privacy and safety available.

### SECURITY OF INFORMATION

Personally identifiable information (PII) about you will be maintained during the time you are a client and for the required time thereafter that such records are required to be maintained by federal and state securities laws, and consistent with the CFP Board Code of Ethics and Professional Responsibility. After this required period of record retention, all such information will be destroyed.

### INFORMATION DISCLOSURE TO THIRD PARTIES

**We do not provide your information to mailing list vendors or solicitors for any purpose.**

We do not disclose any nonpublic personal information about our customers or former customers to anyone, except as permitted by law.

### DEPARTING REGISTERED REPRESENTATIVES

**Departing registered representatives may take nonpublic information about a client or customer with them to their new firm, unless the client or customer objects.** We understand the importance of the personal relationship between a representative and his or her clients and customers. If you wish to prevent your Registered Representative from taking nonpublic personal information about you to their new firm upon termination of employment with Secure Planning, LLC, please "opt out" by following the instructions on the attached form.

UNDER FEDERAL LAW YOU ARE ENTITLED TO RECEIVE MORE DETAILED INFORMATION FROM US SHOULD YOU SO DESIRE AND TO "OPT OUT" OF OUR DISCLOSURE OF PRIVATE INFORMATION TO THIRD PARTIES. TO OBTAIN THIS INFORMATION, PLEASE EITHER:

- TELEPHONE US AT THE FOLLOWING TOLL-FREE NUMBER: 1(800) 433-5515
- CONTACT US THROUGH E-MAIL: [clients@secureplanning.com](mailto:clients@secureplanning.com)

#### BUSINESS CONTINUITY

Secure Planning, LLC has back-up systems in place to help ensure that your account information and transactions are protected in the event of a disaster. Whether a single site be affected or a region, we have strategic plans in place to relocate our employees and data in order to continue business with as little disruption possible. This plan is subject to modification and will be updated as needed.

#### FINRA BROKERCHECK

FINRA BrokerCheck, formally known as the FINRA's Public Disclosure Program, allows investors to learn about the professional background, business practices, and conduct of FINRA member firms or their brokers. The telephone number of the FINRA BrokerCheck is 800-289-9999, the website address is <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck>. An investor brochure is also available upon request.



SECURE PLANNING, LLC

2023 PRIVACY NOTICE OPT-OUT FORM

This Privacy Notice is being provided to you under Federal privacy law and regulations designed to protect you from unauthorized use of your nonpublic personal information.

Secure Planning does not disclose any nonpublic personal information about our customers or former customers to anyone, except as permitted by law. In the event your Secure Planning Representative terminates their relationship with Secure Planning, we would permit the representative to take your information with them to their new broker-dealer unless you "opt out".

TO "OPT OUT" YOU MUST TELL US BY SIGNING AND RETURNING THIS NOTICE. IF YOU DO NOT "OPT OUT" WE WILL ASSUME THAT YOU HAVE NO OBJECTION TO OUR DISCLOSURE OF THE INFORMATION AS DESCRIBED ABOVE.

**DEPARTING REGISTERED REPRESENTATIVES**

Departing registered representatives may take nonpublic information about a client or customer with them to their new firm, unless the client or customer objects. We understand the importance of the personal relationship between a representative and his or her clients and customers. If you wish to prevent your Registered Representative from taking nonpublic personal information about you to their new firm upon termination of employment with Secure Planning, LLC, please "opt out" by checking the below box and returning to our office.

\_\_\_\_ I DO NOT AGREE TO THE USE OF MY PRIVATE INFORMATION BY REGISTERED REPRESENTATIVES THAT TERMINATE THEIR RELATIONSHIP WITH SECURE PLANNING.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature (joint account)

\_\_\_\_\_  
Name Printed

\_\_\_\_\_  
Name Printed