

# **BUTLER FINANCIAL SERVICES, LTD.**

## **PRIVACY NOTICE REGARDING CLIENT PRIVACY**

**Maintaining the trust and confidence of our clients is a high priority. We want you to understand how we protect your privacy when we collect and use information about you, and the steps that we take to safeguard that information.**

### **What is the purpose of this Notice of Privacy Policy?**

Butler Financial Services, Ltd. (“BFS”) is an investment adviser registered with the State of California. BFS is providing this Notice of Privacy Policy in order to outline the steps taken keep your personal information confidential and strictly safeguarded, and to use or disclose it only as needed to provide services to you, or as permitted by law. Protecting your privacy is important to us.

### **Information We Collect:**

In connection with providing investment management, financial advice, or other services, we obtain non-public personal information about you, including:

- Information we receive from you on account applications, such as your address, date of birth, Social Security Number, occupation, financial goals, assets and income;
- Information about your advisory services, brokerage transactions with us, our affiliates and third parties not affiliated with us that are used by us, to provide advisory services to you.

### **How we use your information:**

Information may be used among the companies that perform support services for us, and services to you for a number of purposes, such as:

- **To protect your accounts** from unauthorized access or identity theft;
- **To process your requests** such as securities purchases and sales;
- **To establish or maintain an account with an unaffiliated third party**, such as a clearing broker-dealer providing services to you and/or Butler Financial Services, Ltd.;
- **To service your accounts**, such as by issuing checks and account statements;
- **To comply** with Federal, State, and Self-Regulatory Organization requirement

### **To whom do we disclose your nonpublic personal information:**

We disclose your nonpublic personal information to only the following persons:

- The companies you authorize us to use to provide advisory services to you, for example, the custodian for your account.
- To entities that perform services for us or function on our behalf, including financial service providers, such as a clearing broker-dealer, investment company, or insurance company;
- To your attorney, trustee or anyone else who has been verified by you to represent you in a fiduciary capacity;

- To our attorneys, accountants or auditors; and
- To government entities or other third parties in response to subpoenas or other legal process as required by law or to comply with regulatory inquiries.

### **What information do we disclose about you to these parties?**

We may disclose the following kinds of nonpublic personal information about you:

- Information we receive on your application for service or client questionnaire, such as, your name, social security number, assets, and income.
- Information about the transactions in your account.

### **How do we safeguard your nonpublic personal information?**

We restrict access to nonpublic personal information about you to those employees and service providers (like brokers and custodians) who need to know that information in order for us to carry out the advisory services that you have asked us to provide you. We maintain physical, electronic, and procedural safeguards that comply with state and federal standards to guard your nonpublic personal information in order to:

- insure the security and confidentiality of customer records and information;
- protect against any anticipated threats or hazards to the security or integrity of such records; and
- protect against unauthorized access to or use of such records or information which could result in substantial harm or inconvenience to any customer.

**It is the policy of BFS to only share your nonpublic personal and financial information as outlined above. Sharing your information in the circumstances outlined above is necessary to service your accounts, or is mandated by law. Please contact us with any questions regarding privacy.**