

# UPLAND

FINANCIAL PARTNERS



## FACTS

### WHAT DOES UPLAND FINANCIAL PARTNERS DO WITH YOUR PERSONAL INFORMATION?

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#### 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 product or service you have with us. This information can include:

- Social Security number and income
- Assets and transaction history
- Investment experience and risk tolerance

When you are no longer our client, we continue to share your information as described in this notice.

#### How?

All financial companies need to share clients' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their clients' personal information; the reasons Upland Financial Partners chooses to share and whether you can limit this sharing.

<b>Reasons We Can Share Your Personal Information</b>	<b>Does Upland Financial Partners?</b>	<b>Can You Limit This Sharing?</b>
<b>For our everyday business purposes</b> – such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	YES	NO
<b>For business development purposes</b> - such as sharing information as part of a bona fide plan of affiliating with a firm that will provide us with back office services and other benefits. In these circumstances, we believe that it would be beneficial to you for us to begin this information exchange prior to affiliation.	YES	NO
<b>For our marketing purposes</b> – to offer our products and services to you	YES	YES
<b>For joint marketing with other financial companies</b>	NO	We do not share
<b>For our affiliates' everyday business purposes</b> – information about your transactions and experiences	NO	We do not share
<b>For our affiliates' everyday business purposes</b> – information about your creditworthiness	NO	We do not share
<b>For our affiliates to market to you</b>	NO	We do not share
<b>For our nonaffiliates to market to you</b>	NO	We do not share

## To Limit Our Sharing

### Please note:

If you are a new client, we can begin sharing your information 30 days from the date we sent this notice. When you are no longer our client, we continue to share your information as described in this notice.

However, you can contact us at any time to limit our sharing by :

- **E-mailing us at [erik@uplandfp.com](mailto:erik@uplandfp.com)**
- **Calling us at 502-977-5155 or**
- **Writing to us at 10200 Forest Green Blvd., Suite 112, Louisville, KY, 40223**

## Who We Are

Who is providing this notice?

Upland Financial Partners

## Who We Are

How does Upland Financial Partners 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 buildings.

How does Upland Financial Partners collect my personal information?

We collect your personal information, for example, when you

- open an account or give us contact information
- enter into an investment adviser contract or give us your income information
- tell us about your investment or retirement portfolio

We also collect your personal information from other companies.

Why can't I limit all sharing?

Federal law gives you the right to limit only

- sharing for affiliates' everyday business purposes—information about your creditworthiness
- affiliates from using your information to market to you
- sharing for nonaffiliates to market to you

State laws and individual companies may give you additional rights to limit sharing

## Definitions

**Affiliates**

Companies related by common ownership or control. They can be financial and nonfinancial companies.

- NONE

**Nonaffiliates**

Companies not related by common ownership or control. They can be financial and nonfinancial companies.

- NONE

**Joint Marketing**

A formal agreement between nonaffiliated financial companies that together market financial products or services to you.

- NONE