

HATHAWAY FINANCIAL LLC

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PRIVACY POLICY

Hathaway Financial LLC (“We” or “HF” going forward) is a Registered Investment Advisor and we are required by law to inform clients of our policies regarding privacy of client information. We are bound by professional standards of confidentiality. Federal law gives the customer the right to limit some but not all sharing of personal information. It also requires us to tell you how we collect, share, and protect your personal information.

NonPublic Personal Information We See or Collect

HF collects nonpublic personal information (NPI) about you that is either provided to us by you or obtained by us with your authorization. We also have visibility to information you store with Schwab (see their Privacy Policy below), but this can include but is not limited to Social Security Numbers, Date of Birth, Banking Information, email, phone number, Financial Account Numbers and/or Balances, Sources of Income, or other Information.

We don’t intend to share your information with anyone, except where required for servicing your account and meeting regulatory requirements, such as audits or reviews by state and federal regulators.

External Vendors and Service Providers

As one can imagine with most business these days we use external vendor software and infrastructure to manage our operations. We do not maintain “paper” records of anything, and if we print something it is shredded. Following is an overview of our vendors and key points related to privacy.

Charles Schwab

Charles Schwab and Co., Inc. (Schwab) is our firm’s custodian; meaning our clients’ brokerage accounts are maintained there, along with all relevant records of trades, balances, statements, profiles, etc. You can review Schwab’s comprehensive Privacy Policy here: www.schwab.com/legal/privacy-overview

Google

We use Google Business Suite to manage our firm operations, including: Google Drive for storage, Email, Calendar, Meet, Sheets, Docs, Presentations, etc...So for example, we save information you provide us in a secure Google Drive Folder that we share with you. Only you and HF have access to that folder. Note: Google Drive is extremely secure and you can set up two-factor authentication if you wish. Here is Google’s privacy policy: <https://policies.google.com/privacy?hl=en-US>

Envestnet

Some of our clients use Envestnet’s cloud-based financial planning software. To the extent you have requested use of Financial Planning Software their privacy policy and practices can be reviewed here: trust.envestnet.com/en-US/home

General

If you are a new customer we may begin sharing your information on the day you sign our agreement. When you are no longer our customer, we may continue to share your information as described in this notice. However, you can contact us at any time to limit our sharing.

To protect your personal information from unauthorized access and use, we use security measures that comply with federal law, including computer safeguards and secured files. Our computers are encrypted, require login credentials, and logging into the vendors discussed above requires secure ID and two factor authentication.

Federal law allows you the right to limit the sharing of your NPI by “opting-out” of the following: sharing for non-affiliates’ everyday business purposes – information about your creditworthiness; or sharing with affiliates or non-affiliates who use your information to market to you. State laws and individual companies may give you additional rights to limit sharing.

However, Hathaway Financial does not share your information with any affiliates or non-affiliates.

DEFINITIONS: 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; Joint marketing – a formal agreement between non-affiliated financial companies that together market financial products or services to you.

In Summary

We only share your data as required by law. We do not share your personal information or sell it to anyone.

Please contact us if you have any questions: sean@hathawayfinancial.com