



**PROVIDENCE COMPLIANCE**

STAY COMPLIANT. STAY SUCCESSFUL.

# PRIVACY POLICY

Providence Compliance ("Providence," "we," "our," or "us") is committed to protecting the confidentiality and security of the information we collect from our clients and other individuals with whom we interact. This Privacy Policy describes our practices for collecting, using, and protecting your information in the course of providing investment adviser compliance consulting services.

## 01/ INFORMATION WE COLLECT

In the course of providing compliance consulting services, we collect information necessary to deliver our services effectively. This includes registration and licensing documentation, Form ADV information, compliance manuals and procedures, regulatory filings, business and operational information, and other materials related to investment adviser compliance matters. We also collect standard business contact information including names, titles, business addresses, phone numbers, and email addresses of client personnel.

## 02/ USE OF INFORMATION

We use the information collected solely for the purpose of providing compliance consulting services to our clients. This includes assisting with regulatory registrations, developing compliance programs, conducting annual reviews, preparing and maintaining required records, and providing ongoing compliance support. We analyze this information to deliver our services, communicate with our clients, maintain required records, and fulfill our professional obligations. We do not use client information for any purpose other than providing our professional services and maintaining our business operations.

## 03/ PROTECTION OF INFORMATION

We maintain strict physical, electronic, and procedural safeguards to protect your information. Our security measures include secured office facilities, password-protected devices and files, encrypted data transmission, and strict confidentiality policies for all employees. We regularly review and update these measures to ensure the ongoing protection of client information. Access to client information is restricted to employees who need it to perform their duties.

## 04/ INFORMATION SHARING

Providence Compliance does not sell, rent, trade, or otherwise share client information with any third parties for marketing purposes. We treat all client information as strictly confidential. Information is shared only in the following limited circumstances: with your explicit consent, with service providers who assist in our operations (subject to confidentiality agreements), or when required by law, regulation, or regulatory authority. When working with service providers, we share only the information necessary for them to perform their specified functions and require them to protect the confidentiality of all information.

## 05/ RECORD RETENTION

We maintain records in accordance with applicable regulatory requirements and professional standards. This includes retaining certain client information for specified periods as required by securities laws and regulations. When we no longer need client information, it is securely destroyed in accordance with our record retention policies.

## 06/ YOUR RIGHTS

As our client, you have the right to:

- ✓ Review the information we maintain about you
- ✓ Request corrections to any inaccurate information
- ✓ Understand how your information is used and protected
- ✓ Request limitations on the sharing of your information
- ✓ Receive notice of any material changes to our privacy practices

## 07/ REGULATORY REQUIREMENTS

As a compliance consulting firm serving registered investment advisers, we are sensitive to the regulatory requirements governing the protection of customer information. We maintain policies and procedures designed to comply with applicable privacy regulations and protect confidential information in accordance with federal and state requirements.

## 08/ CHANGES TO THIS PRIVACY POLICY

We may update this Privacy Policy periodically to reflect changes in our practices or relevant laws and regulations. We will notify current clients of any material changes to this policy.

## 09/ CONTACT INFORMATION

If you have questions about this Privacy Policy or our privacy practices, please contact us at:

**Email:** [info@providence-compliance.com](mailto:info@providence-compliance.com)

**Phone:** 904/727-0388