

# Santa Barbara Advisors

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## **PRIVACY NOTICE**

**Maintaining the trust and confidence of our clients is a high priority. That is why 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. This notice is provided to you on behalf of Santa Barbara Advisors.**

**Information We Collect:** In connection with providing investment products, financial advice, or other services, we obtain non-public personal information about you including:

- Information we receive from you on account applications, such as our address, date of birth, Social Security Number, occupation, financial goals, assets and income.
- Information about your transactions with us, our affiliates, or others; and
- Information received from credit or service bureaus or other third parties, such as your credit history or employment status.

**Categories of Information We Disclose:** We may only disclosed information that we collect in accordance with this policy. Santa Barbara Advisors does not sell customers lists and will not sell your names to telemarketers.

**Categories of Parties to Whom We Disclose:** We will not disclose information that we collect in accordance with this policy. Santa Barbara Advisors does not sell customer lists and will not sell your name to telemarketers.

**Categories of Parties to Whom We Disclose:** We will not disclose information regarding you or your account with us, except under the following circumstances:

- To your authorized Registered Investment Advisors and his or her managers;
- To your attorney, trustee or anyone else who represents you in a fiduciary capacity;
- To our attorneys, accountings or auditors; and
- To government entities or to other third parties in response to subpoenas or other legal process as required by law or to comply with regulatory inquires.

**Our Securities Policy:** We restrict access to nonpublic personal information about you to those individuals who need to know that information to provide products or serves to you and perform their respective duties. We maintain physical, electronic, and procedural securities measures to safeguard confidential client information.

**Closed or Inactive Accounts:** If you decide to close your account(s) or become an inactive customer, our Privacy Policy will continue to apply to you.

**Compliant Notification:** Please direct complaints to: John Weymouth at Santa Barbara Advisors, 3700 State Street, Suite 340, Santa Barbara, CA 93105; Phone (805) 563-3333.

**Changes to this Privacy Policy:** If we make any substantial changes in the way we use or disseminate confidential information, we will notify you. If you have any questions concerning this Privacy Policy, please contact us at Santa Barbara Advisors, 3700 State Street, Suite 340, Santa Barbara, CA 93105; Phone (805) 563-3333.