



Privacy Policy Statement

Effective Date: May 8, 2025

Prepared By: Plan2Thrive Financial, LLC

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I. Commitment to Your Privacy

At Plan2Thrive Financial, LLC (“the Firm,” “we,” “us,” or “our”), we are committed to safeguarding the confidential information of our clients. As a Registered Investment Advisor, we are obligated to protect the non-public personal information (NPI) you provide to us, and we do so with the highest standards of security and integrity.

This Privacy Policy outlines our practices regarding the collection, use, and protection of your NPI, as required under the Gramm-Leach-Bliley Act (GLBA) and SEC Regulation S-P.

II. Information We Collect

We collect non-public personal information about you to provide investment advisory services effectively. The types of information we may collect include:

- **Personal identifiers** such as your name, address, date of birth, Social Security number, and driver’s license number.
- **Financial information** such as account numbers, balances, transaction history, income, net worth, tax information, and investment objectives.
- **Client background** such as employment status, risk tolerance, investment experience, and marital status.
- **Third-party data** such as information received from custodians, broker-dealers, and other financial institutions.

We may collect this information through:

- Account applications and other forms you complete;
- Discussions with you via phone, email, or in person;
- Transactions carried out on your behalf;
- External service providers and institutions you authorize to share data with us.

III. How We Use Your Information

Your non-public personal information is used strictly for business purposes, including:

- Managing your portfolio and providing ongoing investment advice;
- Executing securities transactions;
- Maintaining and servicing your accounts;
- Preparing financial plans and performance reports;
- Communicating with you about account status and regulatory updates;
- Satisfying legal and regulatory requirements.

We do **not** sell your personal information. We do **not** share your information with unaffiliated third parties for marketing purposes.

IV. Information Sharing

We may disclose your NPI to non-affiliated third parties only under the following limited circumstances:

- **With your authorization** or at your direction;
- **To service providers** performing administrative or account maintenance tasks on our behalf (e.g., custodians, account aggregators, data storage services);
- **As required by law** or regulation, including cooperation with regulators, law enforcement, or judicial authorities;
- **In connection with a corporate transaction**, such as a sale, merger, or reorganization, where client information may be part of the transferred assets, subject to client notification.

All third parties with whom we share NPI are contractually obligated to maintain the confidentiality and security of your information and to use it only for the purposes specified by us.

V. Safeguarding Your Information

We maintain physical, electronic, and procedural safeguards to protect your non-public personal information. These include:

- Secure office facilities and restricted employee access;
- Encrypted digital communications and cloud storage systems;
- Regular cybersecurity risk assessments and updates;
- Employee training on privacy and data security protocols.

Access to your NPI is restricted to those employees and service providers who need it to service your account or meet compliance obligations.

VI. Your Rights and Choices

You may review, update, or correct your personal information at any time by contacting us directly. If you believe your information has been misused or compromised, notify us immediately so that we can take appropriate action.

You have the right to opt out of certain limited sharing practices; however, please note that we do not currently share NPI in a way that would trigger opt-out rights under Regulation S-P.

VII. Changes to Our Privacy Policy

We reserve the right to amend this Privacy Policy at any time, consistent with applicable laws and regulations. If we make material changes, we will provide you with a revised policy notice via email or mail.

VIII. Contact Us

If you have questions about this policy or how your information is handled, please contact:

Patrick Reid, Chief Compliance Officer
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Investment Advisory Services are offered through Plan2Thrive Financial, a registered investment adviser. Financial Planning offered through Plan2thrive Financial, a Registered Investment Advisor.