



STATEMENT OF PRIVACY POLICY

Our Commitment to Your Privacy: Protecting our clients' privacy is of paramount importance to The Humphreys Group, LLC ("THG" or "Advisor"). It is THG's policy that no private client financial information obtained by us is sold or made available to third parties except that:

- Third parties may be used by Advisor to assist in the management or maintenance of client accounts (such as Custodian).
- Client information may be released to Client's accountancy, legal and other third-party representatives at Client's direction;
- Client information may be released in accordance with applicable laws and regulations.

We will not share non-public personal information about our clients with nonaffiliated third parties without prior client consent, except for specific purposes described below. This notice explains our collection, use and safeguarding of client information.

How THG Gathers Information: In connection with providing clients with investment management services, we may obtain information about them from the following sources:

- Client agreements and other information that clients provide to us, whether in writing, in person, by telephone, electronically or by any other means. This information may include a client's name, address, phone number, email address, social security number, employment information, income, investment experience, and credit references;
- Personal tax returns provided by the client;
- Transactions on a client's behalf. This information may include the client's account balances, positions, investment interests and history;
- Consumer reporting agencies. This information may include account information and credit history; and
- Public sources.

Sharing Information with Nonaffiliated Third Parties: We only disclose non-public client information to nonaffiliated third parties when we believe it necessary for our provision of services to you or as required or permitted by law, such as:

- If you request or authorize the disclosure of the information;
- To provide client account services or account maintenance;
- To respond to a subpoena or court order, judicial process, law enforcement or regulatory authorities;
- To perform services for the firm or on its behalf to develop or maintain proprietary trading or other software;

- In connection with a proposed or actual sale, merger, or transfer of all or a portion of our business or an operating unit;
- To help us prevent fraud;
- With rating agencies, persons assessing compliance with industry standards, or to the attorneys, accountants and auditors of the firm;
- To comply with federal, state or local laws, rules and other applicable legal requirements; and
- Pursuant to any other exceptions enumerated in the California Information Privacy Act.

We do not make any disclosure of client non-public personal information to other companies who may want to sell their products or services to you. For example, we do not sell client lists and we will not sell client names to catalogue companies.

Use of Third-party Electronic Platforms: The Firm is aided in its ongoing client account monitoring and management services by the use of third-party portfolio and trade data management software and services provided by Schwab Portfolio Center. Such third-party services provide linked access to client custodial accounts and trade activity and provide “cloud” storage of such data on their secure, internal computer servers on behalf of the Firm. We only share non-public client information with non-affiliated third parties when we believe it necessary for our provision of services to you or to maintain your account.

Opt In – Opt Out Provision: If, at any time in the future, it is necessary to disclose any client personal information in a way that is inconsistent with this policy, we will give our clients advance notice of the proposed disclosure so that they will have the opportunity to opt out of such disclosure. We believe that sharing client private information under the circumstances noted above is either mandated by law or necessary for us to conduct our business and to best service client accounts. Clients desiring to opt out of the above disclosures should contact us immediately and we will terminate our agreement with you and arrange for you transfer your account. If, at any time in the future, it is necessary to disclose any of client personal information in a way that is inconsistent with this policy, we will give our clients advance notice of the proposed disclosure so that they will have the opportunity to opt out of such disclosure.

Former Clients: Our Privacy Policy continues to apply to all former clients.

To Whom This Policy Applies: This Privacy Policy applies to individuals who obtain or have obtained services from THG used primarily for personal, family or household purposes.

Our Security Practices and Information Accuracy: We take steps to safeguard client information. We restrict access to the personal and account information of our clients to our employees and agents for business purposes only. We maintain physical, electronic and procedural safeguards to guard your personal information. Additionally, we have internal controls to keep client information as accurate and complete as we can. If you believe that any information about you is not accurate, please let us know.

Other Information: We reserve the right to change this Statement of Privacy Policy. The examples contained within this Privacy Policy are illustrations and they are not intended to be exclusive. If you have any questions about our Privacy Policy, please contact Diane S Bourdo, President and Chief Compliance Officer at 415-928-0401.