

Privacy Notice

Financial Gravity Companies, Inc. (“FGCO”) and all its subsidiaries, provide this Privacy Notice to explain what private, non-public information FGCO obtains and how and when FGCO uses this information.

We have always been committed to maintaining client trust, protecting your personal information and right to privacy. We maintain high standards to safeguard your personal information. We will remain watchful and professional in protecting your information and only using it in a fair and lawful manner.

Safeguarding Customer Information and Documents

To conduct regular business, Sofos may collect non-public customer data/personal information which may include your social security number, account numbers and balances, income, age and other non-public information (NPI) necessary to assist you with your investment needs and service your account. Sofos gathers this information at account opening and may request periodic updates as necessary. The information may be provided to Sofos via forms and in documentation provided to Sofos by clients (or through their financial professionals) for evaluation, account opening, investment management, or for other purposes as may be deemed necessary to service the client’s needs.

Sofos has established policies and procedures to help safeguard your personal information by restricting access to only those employees who provide products or services to you or those who need access to your information to service your account. In addition, Sofos maintains physical, electronic and procedural safeguards that meet federal and/or state standards to help guard your NPI.

Sharing Non-Public Personal and Financial Information

Sofos shares non-public information only when required to service client accounts. Otherwise, Sofos does not disclose any client (including former client) non-public personal information to anyone, except as may permitted by law, or is otherwise disclosed herein. Sofos will not share non-public information with third parties for marketing purposes.

Sofos will not share your non-public information with unaffiliated third party except:

- The account custodian(s) with whom the client has entered into an agreement, when opening an account or when necessary to complete transactions in a client account;
- To service and/or maintain your account or to resolve a dispute or inquiry;
- As required by regulatory authorities or law enforcement officials who have jurisdiction over Sofos, or as otherwise required by any applicable law;
- In limited situations, to unrelated third parties who need to know that information to assist us in providing investment and account services to you.

It is not a policy of Sofos to share nonpublic personal and financial information with unaffiliated third parties except under the circumstances noted above. Since sharing under the circumstances noted above is necessary to service client accounts or is mandated by law, we do not make allowances for clients to opt out.

Additional Information

Additional information about Sofos and your account can be obtained by reviewing our ADV 2A which is available on the SEC’s website at www.adviserinfo.sec.gov. You can find us under our unique identifier (CRD number) which is 144008. In addition, you can request further information by contacting your financial advisor or Sofos directly at 800.920.9722 or by writing to support@sofosinvestments.com.