Dodd Consulting, LLC
EXECUTIVE BENEFITS • EMPLOYEE BENEFITS
WEALTH PRESERVATION AND INSURANCE PLANNING

One Landmark Square, 8th Floor, Stamford, CT 06901-2603
Tel: (203) 504-3633 Fax: (203) 504-3639
E-mail: info@doddconsulting.net
www.doddconsulting.net

Dodd Consulting, LLC Privacy Notice

Protecting Your Privacy and Security

At Dodd Consulting, LLC your privacy is our priority.
The purpose for the collection and use of your personal information is to assist us in processing requests and providing general administration as it relates to executive benefits, employee benefits, wealth preservation and insurance planning, securities and other financial products and services. We collect personal information to open your account(s), to process your transactions and to help us provide a better level of service. We do not sell your personal information to anyone. We protect the security and confidentiality of the personal information we collect. This Privacy Notice pertains to insurance, securities and other financial products and services we provide.

Our relationship with you is our most important asset. We understand that you have entrusted us with your private financial information, and we do everything we can to maintain that trust. The following are additional details of our approach to privacy.

The Dodd Consulting, LLC Privacy Policy
The Dodd Consulting, LLC Privacy Policy applies to consumers who are current or former clients. Throughout the policy, we refer to information that personally identifies you or your accounts as “personal information”.

We do not sell your personal information to anyone.

We do not disclose personal information to third parties, unless one of the following limited exceptions applies.

- We may disclose personal information, such as account and transaction data, to companies, including financial institutions that contract with Dodd Consulting, LLC to manage portfolios, execute transactions, or act in a custodial capacity, etc. We have contracts with these companies that prohibit them from using your personal information for their own purposes.
- We may disclose personal information to companies that help us process or service your transactions or account(s), including companies that print and mail your account statements.
- We may disclose or report personal information, in limited circumstances namely when a good faith disclosure is required by law (for example: to cooperate with regulators or law enforcement authorities, resolve consumer disputes, perform credit/authentication checks, or for institutional risk control).
- The insurance companies we work with on your behalf will treat any information they obtain or have obtained about you as confidential. However, if applicable, they may disclose it to: your doctor, if they find a serious health problem you do not know about; the Medical Information Bureau (MIB); for payment or health care operation purposes; or as permitted or required by federal or state law. The companies or their insurers may make a brief report to the MIB, a non-profit membership organization of life insurance companies, which operates an information exchange on behalf of its members. If you apply to another MIB member company for life or health insurance coverage, or a claim for benefits is submitted to such a company, the MIB, upon request, will supply such company with the information in its file. Similarly, the companies or their reinsurers may release information in their file to other life insurance companies to which you may apply for life or health insurance or to which a claim for benefits may be submitted.

Outside of these exceptions outlined in this privacy notice, we will not share your personal information with third parties unless you have specifically asked us to do so.

We do collect personal information in the normal course of business in order to administer your accounts and serve you better.

- The information we obtain is typically used for providing you with competitive marketplace product pricing, processing applications and other forms for our products and services, insurance policy underwriting or claims issue resolution. The information may include name, date of birth, occupation, claims history, risk characteristics and activities, personal health information, asset and income as well as other personal information.

- We may need to receive, obtain, verify or get additional information from other sources such as your employer (census data or other related information) and other third parties (i.e. insurance companies, plan sponsors, plan administrators, consumer reporting agencies, etc.). The collection of your personal information will vary depending on the products and services and is usually gathered from you or your representative.
- Application and registration information: We collect information that you provide to us when you open an account, make application to or through Dodd Consulting, LLC for the purchase of a securities product or service, or register for one or more of our services such as financial analysis or seminars. The information we collect may include name, address, phone number, e-mail address, Social Security Number, financial information, and information about your investment desires and experience. We also may collect information from consumer reporting agencies.
- Transaction information: Once you have an account with us, to administer your account and better serve you, we collect and maintain personal information about your transactions, including balances, positions, and history, and may include your name or other data in an internal client list reflective of your activities at Dodd Consulting, LLC and with outside contracted providers.

We use your personal information to fulfill our regulatory obligations and to help us deliver the best possible service to you.

- Dodd Consulting, LLC is required by its various regulatory authorities such as the U.S. Securities Exchange Commission (SEC), National Association of Securities Dealers, Inc. (NASD), and state jurisdictions to collect, review, and maintain certain personal information such as investment history, financial data, employment history, etc. in order to fulfill various regulatory requirements.
- Dodd Consulting, LLC is a Member Firm of the M Financial Group and may offer securities and other investment services through M Holdings Securities, Inc ("M Securities"), a subsidiary of M Financial Group. To understand your financial needs and to deliver financial products and services that meet them, we may share personal information, such as transaction or experience data, with these affiliates, all of which follow similar privacy policies.

We protect the confidentiality and security of your personal information.

- Companies we hire to provide support services are not allowed to use your personal information for their own purposes and are contractually obligated to maintain strict confidentiality. We limit their use of your personal information to the performance of the specific service we have requested.
- We restrict access to personal information to select employees and agents who have a need for such information for business purposes only. All such employees are trained and required to safeguard such information.
- We maintain physical, electronic, and procedural safeguards to guard your personal information.

We make every effort to keep your personal information accurate and up-to-date.

- If you identify any inaccuracy in your personal information, or you need to make a change to that information, please contact us so that we may promptly update our records and better serve you.

We will provide notice of changes in our information-sharing practices.

- If, at any time in the future, it is necessary to disclose any of your personal information in a way that is inconsistent with this policy, we will give you advance notice of the proposed change so that you will have the opportunity to opt out of such disclosure.

If you have any questions or concerns, please contact us by e-mail at info@doddconsulting.net or call us at (203) 504-3633.