

Privacy Policy 2024

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 Socha Financial Group, LLC.

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

- Information we receive from you on account applications, such as your address, date of birth, Social Security Number, occupation, financial goals, assets and income;
- Information about your transactions with us, our affiliates, or others

Categories of Information We Disclose: We may disclose all information that we collect but only to our service providers which would be Charles Schwab Institutional for securities related servicing and a general agent, usually KAFIL, for insurance related services. Socha Financial Group and its affiliates do 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 our affiliates, to the extent permitted by law;
- To entities that perform services for us or function on our behalf, including financial service providers, such as a clearing broker-dealer, investment company, or insurance company;
- To your attorney, trustee or anyone else who represents you in a fiduciary capacity;
- To our attorneys, accountants or auditors;
- To your power of attorney or other designated individual or trusted contact; and
- To government entities or other third parties in response to subpoenas or other legal process as required by law or to comply with regulatory inquiries.

How We Use Information: Information may be used to perform support services for us, such as data processors, technical systems consultants and programmers, or companies that help us service you for a number of purposes, such as:

- To protect your accounts from unauthorized access or identity theft
- To process your requests such as securities purchases and sales;
- To establish or maintain an account with an unaffiliated third party, such as a clearing broker-dealer providing services to you and/or Socha Financial Group
- To service your accounts, such as by issuing checks and account statements
- To comply with Federal, State, and Self-Regulatory Organization requirements

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

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

Complaint Notification: Please direct complaints to: Michelle Socha Vang at Socha Financial Group, LLC 181 E Second St. Corning, NY 14830 607-962-0605.

Changes to This Privacy Policy: If we make any substantial changes in the way we use or disseminate confidential information, we will notify you.