

## Privacy Notice

North Berkeley Wealth Management (referred to as “North Berkeley”) maintains physical, electronic, and procedural safeguards that comply with federal standards to protect its clients’ nonpublic personal information (“information”). Through this policy and its underlying procedures, North Berkeley attempts to secure the confidentiality of customer records and information and protect against anticipated threats or hazards to the security or integrity of customer records and information.

It is the policy of North Berkeley to restrict access to all current and former clients’ information (i.e., information and records pertaining to personal background, investment objectives, financial situation, tax information/returns, investment holdings, account numbers, account balances, etc.) to those employees and affiliated/nonaffiliated entities who need to know that information in order to provide products or services to the client. North Berkeley may disclose the client’s information if North Berkeley is: (1) previously authorized to disclose the information to individuals and/or entities not affiliated with North Berkeley, including, but not limited to the client’s other professional advisors and/or service providers (i.e., attorney, accountant, insurance agent, broker-dealer, investment adviser, account custodian, etc.); (2) required to do so by judicial or regulatory process; or (3) otherwise permitted to do so in accordance with the parameters of applicable federal and/or state privacy regulations. The disclosure of information contained in any document completed by the client for processing and/or transmittal by North Berkeley in order to facilitate the commencement/continuation/termination of a business relationship between the client and a nonaffiliated third party service provider (i.e., broker-dealer, investment adviser, account custodian, insurance company, etc.), including information contained in any document completed and/or executed by the client for North Berkeley (i.e., advisory agreement, client information form, etc.), shall be deemed as having been automatically authorized by the client with respect to the corresponding nonaffiliated third party service provider.

North Berkeley permits only authorized employees and affiliates who have signed a copy of North Berkeley’s Privacy Policy to have access to client information. Employees violating North Berkeley’s Privacy Policy will be subject to North Berkeley’s disciplinary process. Additionally, whenever North Berkeley hires other organizations to provide services to North Berkeley’s clients, North Berkeley will require them to sign confidentiality agreements and/or the Privacy Policy.

## **Your Right to Opt Out**

Federal privacy laws give you the right to restrict some sharing of your personal financial information. These laws balance your right to privacy with North Berkeley's need to provide information for normal business purposes. You have the right to opt out of some information sharing with companies that are (1) Part of the same corporate group as your financial company (or affiliates); or (2) Not part of the same corporate group as your financial company (or non-affiliates). Choosing to restrict the sharing of our personal financial information will not apply to (1) Information about you to firms that help promote and market the company's own products or products offered under a joint agreement between two financial companies; (2) Records of your transactions--such as your loan payments, credit card or debit card purchases, and checking and savings account statements--to firms that provide data processing and mailing services for your company; (3) Information about you in response to a court order; and (4) Your payment history on loans and credit cards to credit bureaus. If you opt out, you limit the extent to which North Berkeley can provide your personal financial information to non-affiliates.

## **General Data Protection Regulation ("GDPR")**

North Berkeley services Clients who may possess dual citizenship in the European Union ("E.U.") or live in the European Economic Area ("EEA"). Servicing Clients in the E.U. and/or EEA generates a requirement for the firm's website and Privacy Policy to comply with GDPR guidelines. North Berkeley is considered the data controller under GDPR guidelines, requiring North Berkeley to meet a set of specified criteria. North Berkeley will ensure compliance with GDPR rules and regulations by ensuring Clients and Prospective Clients located in the E.U. or EEA are granted the following rights: (1) Right to be forgotten; (2) Right to access their personal data; (3) Right to grant or deny services consent; (4) Right to grant or deny placement of cookies; (5) Right to data portability (6) Right to rectification of data; (7) Right to restrict processing of data.

## **Contact Us**

Should you have any questions regarding the above, please contact our Chief Compliance Officer, Kate Campbell King CFP®, at (510) 528-5820, or at [kate@northberkeleywealth.com](mailto:kate@northberkeleywealth.com).