



**D/B/A Winter Park Wealth Management**  
**PRIVACY NOTICE**

401K Generation, Inc. d/b/a Winter Park Wealth Management (referred to as “401kG”) maintains physical, electronic, and procedural safeguards that comply with federal standards to protect its clients’ nonpublic personal information (“information”). Through this notice and its underlying procedures, 401kG secures the confidentiality of customer records and information and protects against anticipated threats or hazards to the security or integrity of customer records and information.

It is the policy of 401kG to restrict access of 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/non-affiliated entities who require that information in order to provide products or services to the client. 401kG may disclose the client’s information if 401kG is:

- (1) previously authorized to disclose the information to individuals and/or entities not affiliated with 401kG, 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.
- (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 401kG 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 401kG (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.

401kG permits only authorized affiliates, and employees who have signed a non-disclosure agreement to have access to client information. Employees violating 401kG’s Privacy Policy will be subject to disciplinary action. Additionally, whenever 401kG hires other organizations to provide services to 401kG clients, 401kG may require them to sign a non-disclosure agreement.

Please call us with any questions at 866-998-5879 or email us at [clientsupport@401kgeneration.com](mailto:clientsupport@401kgeneration.com).

[www.401kGeneration.com](http://www.401kGeneration.com)

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