

# HEARTLAND WEALTH ADVISORS, LLC

## Delivery of Privacy Policy and ADV Material Changes 2021

The following information is provided, as required by law, to help you understand our privacy policy and how we will handle and maintain confidential personal information as we fulfill our obligations to protect your privacy. “Personal information” refers to the nonpublic financial information obtained by Heartland Wealth Advisors, LLC in connection with carrying out our respective services.

### **Information We Collect**

Heartland Wealth Advisors, LLC collects personal information as part of our relationship to you, to provide client services and fulfill legal and regulatory requirements. The type of information Heartland Wealth Advisors, LLC collects may include:

- σ Information Heartland Wealth Advisors, LLC receives from you on forms (such as name, address, Social Security number, assets and income)
- σ Information you provide Heartland Wealth Advisors, LLC directly about your personal finances or personal circumstances or which Heartland Wealth Advisors, LLC may receive from brokerage statements or other information you authorize Heartland Wealth Advisors, LLC to receive

### **Information Disclosed In Administering Products and Services**

Heartland Wealth Advisors, LLC will not disclose personal information about current or former clients to non-affiliated third parties except as permitted or required by law. Heartland Wealth Advisors, LLC does not sell any personal information about you to any third party. Heartland Wealth Advisors, LLC will not disclose personal information without your authorization, except as required or permitted by law, even to affiliated third parties.

### **Procedures to Protect Confidentiality and Security of Your Personal Information**

Heartland Wealth Advisors, LLC has procedures in place that limit access to personal information to those employees who need to know such information in order to perform business services. Heartland Wealth Advisors, LLC educates our employees on the importance of protecting the privacy and security of confidential personal information.

Heartland Wealth Advisors, LLC will update our policy and procedures when necessary to ensure that your privacy is maintained and that Heartland Wealth Advisors, LLC conducts business in a way that fulfills our commitment to you. If Heartland Wealth Advisors, LLC makes any material changes in our privacy policy, we will make that information available to clients through our Website and/or other communications.

### **Summary of Material Changes to Form ADV Part 2**

Each year, we are required to provide a list of material changes to our Form ADV Part 2. The most recent update of our Brochure was March 15, 2021 and included the following material changes: Item 10 was amended to disclose WHA CPA’s, LLC as an affiliated accounting firm as well as Heartland’s succession agreement with Buckingham Strategic Partners and the removal of the solicitation agreement with King Financial. Item 14 was amended to indicate that there are no client referral arrangements in place.

An updated Form ADV is available in our office. Please contact us if you would like a copy. If you have any questions about our Privacy Policy or ADV, please call Douglas Hunt at 913-469-8227.



## Privacy Policy

Buckingham Asset Management, LLC d/b/a Buckingham Strategic Wealth and BAM Advisor Services, LLC (collectively hereinafter "We" or "The Buckingham Family") have adopted this policy with recognition that protecting the privacy and security of the non-public personal information we obtain about our customers is an important responsibility.

All financial companies choose how they share your non-public personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your non-public personal information. Even when you are no longer our customer, we will only share your non-public personal information as described in this notice. So, please read this notice carefully to understand what we do.

The types of non-public personal information we collect and share depend on the services you have with us. This information can include items such as your Social Security number and income, your account balances and transaction history, and your investment experience and account transactions. We collect your non-public personal information in a variety of ways. For example, we obtain your non-public personal information when you open an account or give us your income information, tell us about your portfolio or deposit money, or enter into an investment advisory contract. We also collect your non-public personal information from other companies. For example, from the custodians who hold your account assets.

All financial companies need to share customer's non-public personal information to run their everyday business. Below, we describe the reasons we can share your non-public personal information and whether you can limit this sharing.

We share your non-public personal information for our everyday business purposes such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, report to credit bureaus, to protect the confidentiality or security of your records, or as permitted by law. We may also share your non-public personal information for our own firm's marketing purposes; so that we can offer our products and services to you.

Federal law gives you the right to limit only sharing non-public personal information about your credit worthiness for our affiliates' everyday business purposes; sharing non-public personal information about you with our affiliates to market to you; and sharing non-public personal information with non-affiliates to market to you.

We don't share non-public personal information about your creditworthiness with our affiliates for their everyday business purposes. We don't share your non-public personal information with our affiliates to market to you. We don't share your non-public personal information with non-affiliates to market to you. We also don't share your non-public personal information for joint marketing with other financial companies. State laws and individual companies may give you additional rights to limit sharing.

We do not share non-public personal information with our affiliates. However, we share your non-public personal information with a non-affiliate for the purpose of aggregating it and providing summary information based on this data to our parent company, Focus Financial Partners, LLC. To protect your non-public personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.

### Your California Privacy Rights

If you are a California resident, California law may provide you with additional rights regarding our use of your personal information. To learn more about your California privacy rights, visit the [CCPA Privacy Notice](#).

Our policy about obtaining and disclosing non-public personal information may change from time to time. We will provide you notice of any material change to this policy before we implement the change.

If you have questions please call our compliance department at (800) 711-2027.