compass rose
Wealth & Risk Management

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Privacy commitment and client file consent

Dave Lasher – Compass Rose Wealth & Risk Management / LL Financial Planners Inc.

Protecting the privacy of your personal information is important to me and the companies whose products and services I offer, and I'm commited to collecting, using and disclosing your personal information responsibly ("I", "me" and "my", when referring to a representative, include an incorporated representative).

The personal information being collected, such as contact information, financial information as well as records of meetings and phone calls, general correspondence and any instructions you provide to me, will be maintained by me or at my direction in paper and/or electronic format in a client file. This information will be used to assess your financial situation, offer products and services that may be of interest and benefit to you, and provide ongoing client service.

Your personal information in your client file will be disclosed only to:

- My employees and persons authorized by me
- Companies whose products and services I offer and their employees and agents, for the purpose of, or relating to, their providing or seeking to provide financial products or services to you (and for, or related to, any other purposes you have authorized)
- Third party service providers selected and authorized by me. If located outside of Canada your personal information may be subject to the laws, including public authority access laws, of other countries
- Persons or entities to which you have granted access or that are allowed access by law

In accordance with applicable law and by your written request, you have the right to: review the personal information in your client file, request corrections to this information, and to revoke your consent subject to contractual limitations.

If requested by you, additional personal documents such as ***copies*** of insurance policies, wills and powers of attorney may be kept in your client file.

If you need more information about my privacy policies and/or those of the companies I represent, please let me know.

Acknowledgment and client file consent

I acknowledge that I have reviewed this document and I consent to a client file being created and maintained for me.

☐ I consent to my personal information being maintained in a joint client file with my spouse, and being disclosed to my spouse. *Requires signature of spouse, if selected.*

Client name	Client signature	Date
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