

Privacy Policy FinGuard Compliance, LLC

Effective Date: May 27, 2026

FinGuard Compliance, LLC (“FinGuard,” “we,” “us,” or “our”) is a legal and compliance consulting firm based in Ohio but works throughout the United States, specializing in regulatory compliance services for financial institutions and businesses. We are committed to protecting the privacy and confidentiality of the personal information we handle.

This Privacy Policy explains how we collect, use, disclose, and safeguard information through our website (finguardcompliance.com and associated sites) and in connection with our services. It applies to all visitors, clients, prospective clients, newsletter subscribers, and other users of our website and services.

By accessing or using our website or services, you acknowledge that you have read and understood this Policy. If you do not agree, please do not use our website or services.

1. Information We Collect

We may collect the following categories of information:

- **Personal Information:** Name, email address, phone number, mailing address, job title, company name, and other contact or professional details you provide when contacting us, requesting a consultation, subscribing to our newsletter, or engaging our services.
- **Marketing and Email Data:** Email addresses and preferences you voluntarily provide when signing up for marketing communications, regulatory updates, webinars, or newsletters.
- **Client Information:** In the course of providing compliance and legal consulting services, we may receive sensitive business or personal data from clients.
- **Website Usage Data:** IP address, browser type, device information, pages visited, and other analytics data collected automatically through cookies and similar technologies.
- **Communication Data:** Records of emails, forms, or other correspondence with us.

We do not knowingly collect personal information from children under 13.

2. How We Collect Information

- Directly from you (contact forms, newsletter sign-ups, service agreements, event registrations).
- Automatically through website technologies.
- From third parties (referrals or public sources), where permitted.

3. How We Use Your Information

We use the information we collect to:

- Provide and improve our compliance consulting and legal services.
- Respond to inquiries and deliver requested information.
- **Marketing and Communications:** Send you emails containing regulatory updates, industry insights, webinar invitations, service announcements, and other marketing materials. You may receive these emails only if you have provided your email address

and consented (or where we have a legitimate interest under applicable law). All marketing emails will include an unsubscribe link.

- Analyze website usage and enhance user experience.
- Comply with legal obligations and protect our rights.

Providing your email address for marketing purposes is entirely voluntary. You can opt out of receiving marketing emails at any time.

4. Confidentiality and Data Privacy

We maintain strict confidentiality of all client information in accordance with professional standards and applicable law. We implement reasonable administrative, technical, and physical safeguards to protect personal data. Our practices align with the **Ohio Data Protection Act** and relevant federal laws.

5. Sharing and Disclosure of Information

We do not sell personal information. We may share information only in limited cases:

- With service providers (e.g., email marketing platforms like Mailchimp or similar) under strict confidentiality and data processing agreements.
- To comply with law, regulation, or court order.
- With your explicit consent.

We comply with the **Gramm-Leach-Bliley Act (GLBA)** where applicable for financial services clients.

6. Email Marketing and Opt-Out Rights (CAN-SPAM)

All commercial emails we send comply with the federal **CAN-SPAM Act**. You may opt out of receiving future marketing emails by:

- Clicking the “unsubscribe” link in any email we send, or
- Contacting us directly at the email address below.

We will honor opt-out requests promptly. Note that we may still send transactional or service-related emails (e.g., responses to your inquiries or service updates) even after you opt out of marketing communications.

7. Cookies and Tracking Technologies

Our website uses cookies for functionality, analytics, and performance. You can manage preferences through your browser settings.

8. Data Security and Breach Notification

We use reasonable security measures to protect your data. In the event of a data breach, we will comply with Ohio’s data breach notification laws and applicable federal requirements.

9. Your Rights and Choices

You may have rights to access, correct, delete, or opt out of processing of your personal information. To exercise these rights, contact us using the details below. We respond to verified requests within a reasonable time.

10. Third-Party Links and International Transfers

We are not responsible for third-party websites. Data may be processed in the United States.

11. Changes to This Privacy Policy

We may update this policy. Continued use after changes means you accept the updated terms.

12. Governing Law

This Policy is governed by the laws of the State of Ohio and applicable U.S. federal laws, including the **CAN-SPAM Act**, **FTC** guidelines, and other relevant privacy regulations.

Contact Us

For questions, data requests, or to opt out of marketing emails:

FinGuard Compliance, LLC Email: privacy@finguardcompliance.com