



**Goodman**  
**FINANCIAL**

MONEY MANAGER • FINANCIAL ADVISOR • PHILANTHROPY  
SERVING CLIENTS FOR OVER 25 YEARS

Goodman Financial Corporation  
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## **Goodman Financial Corporation Privacy Policy**

Investment advisors, like all providers of personal financial services, are now required by law to inform their clients of their policies regarding privacy of client information. As a firm owned and directed by Steve Goodman, who is both a Certified Public Accountant and Certified Financial Planner®, we have been and continue to be bound by professional standards of confidentiality that are even more stringent than those required by law. Therefore, we have always protected your right to privacy, though this firm is not a CPA firm.

### **Nonpublic Personal Information We Collect**

We collect nonpublic personal information about you that is provided to us by you or obtained by us with your authorization. This includes information from your account custodian(s) from which you have authorized us to have access.

We may collect the following types of ‘nonpublic personal information’ about you:

- Information about your identity, such as your name, address and social security number;
- Information about your transactions with us;
- Information we receive from you on applications, such as your beneficiaries or income.

We may collect nonpublic personal information about you from the following sources:

- From you as provided on/in applications, forms, correspondence, and verbal conversations;
- From others, including but not limited to, individuals such as your attorney, CPA, tax preparer, account custodian, etc.

### **Parties to Whom We Disclose Information**

For current and former clients, we do not disclose any nonpublic personal information obtained in the course of our practice except as required or permitted by law. Permitted disclosures include, for instance, providing information to our employees, and in limited situations, to unrelated third parties who need to know that information to assist us in providing services to you. In all such situations, we stress the confidential nature of the information being shared. You have entered into separate agreements with your account custodian(s), and they have provided their privacy policy directly to you.

### **Protecting the Confidentiality and Security of Current and Former Clients’ Information**

We retain records relating to professional services that we provide so that we are better able to assist you with your professional needs and, in some cases, to comply with professional guidelines. In order to guard your nonpublic personal information, we maintain physical, electronic, and procedural safeguards that comply with our professional standards.

Please call if you have any questions. Your privacy, our professional ethics, and the ability to provide you with quality financial services are very important to us.

## **Notice Regarding Goodman Financial Corporation’s Proxy Voting Policy**

Goodman Financial Corporation votes all proxies for which it is entitled to vote and has formal procedures for the review and voting of proxies, including procedures for resolving any conflicts of interest that could occur. In all instances, proxies are voted with the client’s best interest in mind and in a manner that we believe maximizes the value of your investments. If you wish to obtain a copy of our complete Proxy Voting Procedures or wish to obtain a record of how specific proxies were voted, please send your request to Goodman Financial Corporation, Attn: Charlotte M. Jungen, 5177 Richmond Avenue, Suite 700, Houston, Texas 77056.