

Privacy Policy

FACTS

WHAT DOES ASCENTIS WEALTH DO WITH YOUR PERSONAL INFORMATION?

Why?	Financial companies choose how they share your personal information. Federal law gives consumers and investors the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share and protect your personal information. Please read this notice carefully to understand what we do.
What?	The types of personal information we collect and share depend on the product or service you have with us. This information can include: <ul style="list-style-type: none"> • Social Security number and assets • Accounts balances and transaction history • Wire transaction instructions and risk tolerance
How?	All financial companies need to share customers' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' personal information; the reasons Ascentis Wealth chooses to share; and whether you can limit this sharing.

Reasons we can share your information	Does Ascentis Wealth share?	Can you limit this sharing?
For our everyday business purposes – Such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or to report to credit bureaus	Yes	No
For our marketing purposes – To offer our products and services to you	No	We don't share
For joint marketing with other financial companies	No	We don't share
For our affiliates' everyday business purposes – information about your transactions and experiences	No	We don't share
For our affiliates' everyday business purposes – information about your creditworthiness	No	We don't share
For non-affiliates to market to you	No	We don't share

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To limit our sharing	<ul style="list-style-type: none"> Call 214-440-3909 <p>Please note: If you are a new customer, we can begin sharing your information 30 days from the date we sent this notice. When you are no longer our customer, we continue to share your information as described in this notice. However, you can contact us at any time to limit our sharing.</p>
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Questions?	Call 214-440-3909
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What we do	
How does Ascentis Wealth protect my personal information?	To protect your 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.
How does Ascentis Wealth collect my personal information?	<p>We collect your personal information, for example, when you</p> <ul style="list-style-type: none"> Open an account or seek advice about your investments Make a wire transfer or buy securities from us Enter into an investment advisory contract
Why can't I limit all sharing?	<p>Federal Law gives you the right to limit your sharing for</p> <ul style="list-style-type: none"> sharing for affiliates' everyday business purposes – information about your creditworthiness affiliates from using your information to market to you sharing for non-affiliates to market to you <p>State laws and individual companies may give you additional rights to limit sharing.</p>

Definitions	
Affiliates	<p>Companies related by common ownership or control. They can be financial and not financial companies.</p> <ul style="list-style-type: none"> Our affiliates include Ascentis Asset Management, Ascentis Independent Advisors, Ascentis Operations & Golden State Equity Partners.

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<p>Non-affiliates</p>	<p>Companies not related by common ownership or control. They can be financial and non-financial companies.</p> <ul style="list-style-type: none"> • Ascentis Wealth does not share with non-affiliates so they can market to you.
<p>Joint Marketing</p>	<p>A formal agreement between non-affiliated financial companies that together market financial products or services to you.</p> <ul style="list-style-type: none"> • Ascentis Wealth does not jointly market.

<p>Other important information</p>	
<p>How does Ascentis Wealth protect my personal information?</p>	<p>Ascentis Wealth restricts access to non-public personal information about you to those individuals who need to know that information to provide products or services to you and perform their respective duties. Ascentis Wealth maintains physical, electronic and procedural security measures to safeguard confidential client information.</p>
<p>State Specific Regulations</p>	<p>Pursuant to California Consumer Privacy Act (“CCPA”), California residents, as defined in Section 17014 of Title 18 of the California Code of Regulations, have certain rights regarding their personal data. These rights include the Right to be Notified of the personal information that Ascentis Wealth has collected about you over the last 12 months; the Right to Request the personal information that Ascentis Wealth has collected about you; the Right to Delete, with exceptions, the personal information that Ascentis Wealth has collected about you; and the Right to not be discriminated against for exercising any of the above rights.</p> <p>To request the personal information that has been collected about you or to request deletion, please call 214-440-3909.</p> <p>In response to the CCPA, to be conservative we assume accounts with California addresses do not want us to disclose personal information about you to non-affiliated third parties, except as permitted by Federal and California law. We also limit the sharing of personal information about you with our affiliates to ensure compliance with California privacy laws.</p>