

PRIVACY NOTICE



Facts	What does UAG Do with Your Personal Information?
Why?	<p>UAG (“Adviser” or “Firm”) collects information about you to assist us in providing services and products to help you meet your financial goals and objectives and provide high standards of client service. Additionally, information is obtained from you in order to help us fulfill our legal and regulatory requirements. Information collected may vary depending on the products and services requested and the scope of your engagement with us.</p> <p>Financial companies choose how they share your 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 personal information. Please read this notice carefully to understand what we do. We will provide a revised notice if our privacy practices change materially, at the start of our relationship, and at least annually thereafter.</p>
What?	<p>The types of personal information we collect can include:</p> <ul style="list-style-type: none"> • Social Security number • Income • Assets • Personal information (address, phone numbers, date of birth, net worth, income,) • Account numbers and information • Financial Information <p>When you are no longer our client, we will continue to hold your information and share it as described in this notice.</p>
How?	<p>All financial companies need to share clients’ personal information to run their everyday business. In the section below, we list the reasons why financial companies can share their clients’ personal information, the reasons UAG chooses to share personal information and whether you can limit this sharing.</p>

Reasons We Can Share Your Personal Information	Does Adviser 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 report to credit bureaus.	Yes	No
For our marketing purposes to offer our products and services to you.	Yes	No
For joint marketing with other financial companies.	Yes	No
For our affiliates’ everyday business purposes—information about your transactions and experiences. We may share information about our clients to process transactions, maintain your account(s), or respond to court orders and legal investigations.	Yes	No
For non-affiliates’ everyday business purposes to assist us in obtaining business or providing account maintenance or client service to your account(s).	Yes	No
For our affiliates to market to you—to offer new products or services to you.	Yes	Yes
For non-affiliates to market to you—we do not sell, share, or disclose your nonpublic personal information to non-affiliated third-party marketing companies.	No	N/A
<p>For advisory representatives who leave UAG—if your advisory representative leaves UAG to join another investment adviser or other financial institution, the advisory representative may retain copies of your personal information so that he or she can continue to serve you at the new firm. In doing so, your advisory representative may share your information with the new firm but is otherwise required to keep confidential the personal information obtained from you while the advisory representative was affiliated with UAG, and he or she may use it only to service your account(s).</p> <p>Please note: Certain states require affirmative consent to allow sharing. See below for more on your rights under state law.</p> <p>In the event that a UAG advisory representative terminates his or her relationship with UAG and you want to follow your advisory representative to his or her new firm, please do not request to limit our sharing.</p>	Yes	Yes

Who We Are

Who is providing this notice?

United Advisor Group, LLC
8170 Corporate Park Drive, Suite 300, Cincinnati, OH 45242

What We Do

How does UAG protect my personal information?

UAG recognizes the need to prevent unauthorized access to the information we collect, including information held in electronic format, and we protect your personal information in the following ways:

- Computer safeguards and secured files and buildings.
- We only grant access to your personal information to parties with whom we have executed confidentiality/nondisclosure agreements and who need that information to serve you or to assist us in conducting our operations.
- We have physical and electronic safeguards in place to ensure that we comply with our own policy, industry practices, and federal and state regulations.
- Our employees are trained in the proper handling of sensitive information.
- If you decide to close your account(s) or become an inactive client, we will adhere to the privacy policies and practices as described in this notice.

How does UAG collect my personal information?

We collect your personal information, for example, when you:

- Open an account
- Deposit money
- Seek advice about your investments
- Enter into an investment advisory account
- Tell us about your investment or retirement portfolio

We also collect your personal information from others such as credit bureaus or other non-affiliated third parties, if you transfer positions or funds for us to service.

Why can't I limit all sharing?

Federal law gives you the right to limit only:

- 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

State laws and individual companies may give you additional rights to limit sharing. See below for more on your rights under state law.

To Limit Our Sharing

- Call UAG at: 1-888-242-4912
- Email your request to: RGettins@UAGRIA.com
- SMS: If you provide us with your mobile phone number, we may use it to send business related text messages. You may opt out of SMS communications by replying "STOP" to messages you receive from us or contacting us using the above methods.

Definitions

Affiliates

Companies related by common ownership or control. They can be financial and non-financial companies.

Non-Affiliates

Companies not related by common ownership or control. They can be financial and non-financial companies.

Joint Marketing

A formal agreement between non-affiliated financial companies that together market financial products or services to you. This may include banks, credit unions, or other financial institutions with which we have a joint marketing agreement.

Other Important Information

Incident Response and Notification

The Firm maintains policies and procedures designed to detect, respond to, and recover from unauthorized access to or use of client information. If we determine that sensitive client information has been accessed or used without authorization and such access could pose a risk of harm or inconvenience, we will notify affected individuals and regulatory authorities as required by applicable law and SEC regulations.