

Customer Privacy Policy

Aloft Financial LLC is committed to safeguarding the personal and financial information that you provide us. This notice describes our privacy policy and how we handle and protect personal information we collect about individuals, such as yourself, who apply for or obtain our products and services. The provisions of this notice will apply to former customers as well as current customers.*

Why and how we collect personal information

We collect personal information about you for business purposes, such as evaluating your financial needs, processing your requests and transactions, informing you about products and services that may be of interest to you, and providing customer service. The personal information we collect about you includes:

- Information you provide to us through conversations, materials provided, information you direct others to provide to us or otherwise obtained with your permission;
- information you provide to us on applications and other forms (such as your name, address, social security number, occupation, assets, and income);
- information about your transactions with us, our affiliates and others;
- information we receive from consumer reporting agencies (such as your credit history and creditworthiness) and other entities not affiliated with Aloft Financial LLC; and/or
- Information from your employer, association, or benefit plan sponsor such as name, address, Social Security number, assets and income.

How we protect personal information

We limit access to your personal information to those employees who need to know in order to conduct our business, service your account, and help you accomplish your financial objectives, such as providing you with a broad range of products and services. Our employees are required to maintain and protect the confidentiality of your personal information and must follow established procedures to do so. To comply with applicable laws and regulations, we maintain physical, electronic, and procedural safeguards to protect your personal information.

Disclosure to nonaffiliated third parties

We do not sell, license, lease or otherwise disclose your personal information to any third party for purposes of marketing by the third party, or for any reason, except as described below.

We may share the personal information described above for business purposes with the following companies not affiliated with us:

- financial service institutions (such as mutual fund companies, securities brokers, clearing brokers, insurance brokers and banks) with whom we have joint marketing agreements (such as agreements to market financial services or products that we jointly offer, endorse or sponsor); or
- companies under contract to perform services for us or on our behalf (such as vendors providing data processing, computer software maintenance and development, transaction processing and marketing services).

We will share personal information with non-affiliated companies only when they agree to uphold and maintain our privacy standards when handling a customer's personal information.

Also, we may disclose personal information with non-affiliated companies and regulatory authorities as permitted by applicable law. For example, we may disclose personal information to cooperate with regulatory authorities and law enforcement agencies and as necessary to protect our rights or property. Except as described in this privacy policy, we will not use your personal information for any other purpose unless we describe how such information will be used at the time you disclose it to us or we obtain your permission to do so.

We are not responsible for the privacy policies or the content of sites we link to and have no control of the use or protection of information provided by you or collected by those sites. Whenever you elect to link to a co-branded Web site or to a linked Web site, you may be asked to provide registration or other information. Please note that the information you are providing is going to a third party and you should familiarize yourself with the privacy policy provided by that third party.

Accessing and revising your personal 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. We endeavor to keep our customer files complete and accurate. We will give you reasonable access to the information we have about you. Most of this information is contained in account statements that you receive from us and applications or other information that you submit to us in order to obtain our products and services. We encourage you to review all statements and other information provided to you by us and encourage you to notify us if you believe any information should be corrected or updated. If you have a question or concern about your personal information or this privacy notice, please contact your Financial Advisor. Your privacy, our professional ethics, and the ability to provide you with quality financial services are very important to us.

Should you close your account with us, we will retain your information as needed to comply with regulatory requirements.

In the event we materially change this Privacy Policy, the revised Privacy Policy will promptly be posted to the Web site, and we will post a notice on the Web site informing you of such changes. Additionally, this Privacy Policy has an effective date displayed in the lower right corner indicating when it first came into effect. You should review the Privacy Policy periodically to remain informed of any changes. You agree to accept the posting of a revised Privacy Policy electronically on the Web site as actual notice to you.

*This notice is being provided on behalf of Aloft Financial LLC.

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