

## **CLIENT PRIVACY NOTICE**

Ascent Financial Advisors is a registered investment advisor that specializes in financial planning and asset management for its individual clients. Under federal regulations for investment advisors, we are required to provide existing customers with this privacy notice. In accordance with that regulation, the material below describes how we collect, use and safeguard the information provided to us.

### **The Collection of Information**

Ascent Financial Advisors collect and maintain your personal information so that we may provide financial planning and investment management services to you. We collect the nonpublic information about you in the following ways.

- Information we receive from you on contracts, account applications or other forms (address, social security number and certain financial information)
- Information regarding your transactions with us (account statements, transaction reports, trade tickets)
- Information received from you to access personal account information online (email address, password)
- Email correspondence and communications sent to Ascent Financial Advisors

(Information collected may vary depending on the type of account opened)

### **Information Sharing**

Ascent Financial Advisors may disclose nonpublic personal information about our clients as necessary to conduct business or where disclosure is required by law:

- Third parties that administer and support our transactions (brokers, custodians)
- Third parties retained by the client for services on behalf of the client (accountants, attorneys, administrators and financial planners)
- Third parties that perform services on our behalf

### **Confidentiality**

Ascent Financial Advisors restricts access to nonpublic information about you to those employees who need to know that information to provide products or services to you. We maintain physical, electronic and procedural safeguards to guard your nonpublic personal information. In order to maintain your complete privacy, we will not disclose your personal information to anyone unless directed by you, required by law or is necessary to provide services to you.

Ascent Financial Advisors strongly believes in protecting the confidentiality and security of information we collect about you. This notice describes our privacy policy and describes how we treat the information we receive about you.