

This Privacy Policy is provided to you on behalf of Avantax Planning Partners, Inc. and its financial services affiliates, i.e., Avantax Investment Services, Inc., Avantax Advisory Services, Inc., Avantax Insurance Services, Inc., Avantax Insurance Agency, LLC., Avantax Wealth Management, Inc. d/b/a Avantax Wealth Management® (which may be collectively referred to herein as “Avantax Affiliates,” or “Avantax” or “we” or “us” or “our”). This policy applies to consumers who have, or have had, a customer relationship with Avantax. For purposes of this policy, “Personal Information” is data specifically about you, which you typically provide to Avantax on a voluntary basis when you purchase products or services through us or our financial planning consultants (“Financial Professionals”). Personal Information does not include publicly available information or anonymous, aggregate or combined information, which includes data related to you but does not identify you specifically.

Information Collection

Avantax collects and maintains certain information about you, including Personal Information, in connection with opening and servicing your account, offering you products and services, and complying with applicable supervisory and record keeping regulatory requirements. In the course of serving you, we collect certain Personal Information about you from a variety of sources, such as:

- **Information you voluntarily provide to us through electronic communications (including email), on applications or forms, and through our websites, including, but not limited to,** your name, address, Social Security number, birth date, assets, income, email address, bank account number, health information (if you apply for insurance products through Avantax), and/or driver’s license number. We may also collect information from your tax return if you voluntarily agree with your tax preparer to share that information with us;
- **Information we receive from an outside company,** such as a credit bureau regarding your credit history if you apply for credit products, or due diligence companies to confirm your identity, background and/or eligibility to open an account;
- **Information about your transactions or communications** with Avantax, including electronic communications you have with Avantax or our Financial Professionals through all email accounts, including, but not limited to, a Financial Professional’s Avantax email address; or
- **From other sources with your consent** (for example, from other institutions if you transfer positions into an account at Avantax).

We may collect and use the following information that identifies, relates to, describes, is reasonably capable of being associated with, or could reasonably be linked, directly or indirectly, with a particular consumer or household:

- **Identifiers** (e.g., a real name, alias, postal address, unique personal identifier, online identifier, Internet Protocol address, email address, or other similar identifiers);
- **Information that identifies, relates to, describes, or is capable of being associated with, a particular individual,** including, but not limited to, his or her name, address, telephone number, bank account number, social security number, or any other financial information;
- **Professional or employment-related information,** including job title, company, and salary information; or
- **Commercial information** (e.g., records of personal property, products or services purchased, obtained, or considered, or other purchasing or consuming histories or tendencies).

Information Use and Disclosure

How we share information about you among all Avantax Affiliates

The Personal Information we collect is used to maintain and service your accounts. Personal Information may be used or shared within Avantax for a number of purposes, such as:

- **For our everyday business purposes among all Avantax Affiliates (including but not limited to Avantax Investment Services, Inc., Avantax Advisory Services, Inc., Avantax Insurance Services, Inc.,**

Avantax WM HoldingsSM is the holding company for the group of companies providing financial services under the Avantax[®] name. Investment advisory services are offered through Avantax Planning PartnersSM. Commission-based securities products are offered through Avantax Investment ServicesSM, Member FINRA, SIPC. Insurance services offered through licensed agents of Avantax Planning Partners. 3200 Olympus Blvd., Suite 100, Dallas, TX 75019

Avantax Insurance Agency, LLC, and Avantax Wealth Management, Inc.), such as to process your transactions, maintain and service your account, provide you with customer service, and protect your account. This includes sharing information if your accounts are reassigned to another Avantax Financial Professional; or

- **For marketing purposes for Avantax Affiliates** to offer products and services to you.

How we share information about you with Nonaffiliates

We share Personal Information with nonaffiliates in connection with servicing your account or otherwise as permitted or required by law. Avantax does not sell your Personal Information to nonaffiliates for those companies to market their own products or services to you. We may share Personal Information with the following types of nonaffiliates:

- **Companies that perform services for us or assist us in servicing your account.** For example, our custodians (such as Charles Schwab & Co., Inc.), data processors, technical systems consultants and computer programmers, check printers, data aggregators, marketers, mail fulfillment vendors and insurance policy underwriting, administration, and claims handling;
- **Others as permitted or required by law.** For example, responding to court orders, subpoenas, regulatory inquiries and legal investigations, reporting to credit bureaus, and those with whom you have requested or authorized us to share information; or
- **In connection with an acquisition, merger, restructuring, sale or other transfer** of all or any portion of Avantax we may share Personal Information with the purchaser or potential purchaser.

In the preceding 12 months, we may have disclosed for a business purpose to one or more third parties the following categories of personal information that identifies, relates to, describes, is capable of being associated with, or could reasonably be linked, directly or indirectly, with a consumer or household:

- Identifiers (e.g., a real name, alias, postal address, unique personal identifier, online identifier, Internet Protocol address, email address, account name, or other similar identifiers);
- Information that identifies, relates to, describes, or is capable of being associated with, a particular individual, including, but not limited to, his or her name, signature, address, telephone number, education, employment, and employment history;
- Professional or employment-related information, including job title, company, and salary information; or
- Commercial information (e.g., records of personal property, products or services purchased, obtained, or considered, or other purchasing or consuming histories or tendencies).

Information You Share With Others

Account owners may choose to allow Avantax or their Financial Professional to share their Personal Information or account-related information with individuals who are not account owners. For accounts held jointly by two or more persons, the privacy choices made by any account holder apply to everyone on your account. This applies, but is not limited to, Personal Information and account-related information provided to an account owner in paper or electronic formats.

Information Protection

To protect your personal information from unauthorized access and use, we use security measures designed to comply with federal law. These measures include certain commercially available computer safeguards and secured files and buildings. Additionally, Avantax requires its employees and other associated financial professionals to comply with its privacy standards and policies, which are designed to protect customer information. However, while we strive to protect your Personal Information and privacy, **WE DO NOT GUARANTEE OR WARRANT AGAINST THE THEFT, LOSS, DESTRUCTION, OR DISCLOSURE OF PERSONAL INFORMATION ARISING FROM OR RELATED TO THEFT, UNAUTHORIZED ACCESS BY THIRD PARTIES, OR DATA CORRUPTION, LOSS OR MODIFICATION RESULTING FROM THE INTRODUCTION OF MALICIOUS CODE.**

Avantax has also established a separate Online Privacy Policy governing the collection of information obtained through the Avantax websites. For further information, please visit www.avantaxwealthmanagement.com.

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California Residents

As a California resident, you have the right to request any of the following information from us regarding personal information collected about you:

- The categories of personal information collected about you.
- The categories of sources from which the personal information is collected.
- The business or commercial purpose for collecting or selling personal information.
- The categories of third parties with whom we share personal information, if any.
- The specific personal information collected about you.
- For personal information sold or disclosed to a third party for a business purpose, you have a right to know the categories of personal information about you that we sold and the categories of third parties to whom the personal information was sold; and the categories of personal information that we disclosed about you for a business purpose.

We will provide this information free of charge up to two (2) times in any twelve (12) month period within 45 days of receiving your verifiable request (including verification of your identity and your California residency), subject to delays and exclusions permitted by law. Specific personal information about you or your account that is categorized as sensitive or confidential may be redacted.

As a California resident, you have the right to request that we correct or delete any personal information that we have collected about you. We will honor this request subject to the range of exclusions permitted by law, including the Gramm-Leach-Bliley Act. For example, we are not required to delete personal information if it is necessary to complete a transaction or reasonably used for an ongoing business relationship or if it is used internally in a lawful manner that is compatible with the context in which the consumer provided the information.

As a California resident, you also have the right to opt out of the sharing or selling of your personal information to third parties.

We will not discriminate against you if you choose to exercise any of these rights. California residents may exercise the rights described above by contacting us as follows:

Mail: Avantax Planning Partners, Inc.
3390 Asbury Road
Dubuque, IA 52002

Email: APPPrivacyPolicy@avantax.com (*please use "California Privacy" in the subject line*)

Phone: Call Avantax at 800-791-8994 (toll free)

Via the webform available on our website after January 1, 2023 at: www.avantax.com/privacy-policy

We may require verification of your identity before further processing your request. In certain instances, we may be permitted by law to decline some or all of such request.

Contact Us

For general questions regarding this Privacy Policy, please contact Avantax at:

By Email: APPPrivacyPolicy@avantax.com

By Postal Mail: Avantax Planning Partners, Inc., 3390 Asbury Road Dubuque, IA 52002

By Phone: Call Avantax at 800-791-8994 (toll free)

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