

Wendt Financial Advisors, LLC

Committed to Your Privacy

As an independent financial planning and investment management firm, protecting your privacy is of paramount importance to us. It is our policy that no private client financial information obtained by us is sold or made available to third parties except that:

- Third parties may be used by us to assist in the management or maintenance of your accounts (such as your custodian);
- Your information may be released to your accounting, legal and other third-party representatives at your direction;
- Your information may be released in accordance with applicable laws and regulations.

We will not share nonpublic personal information about our clients with nonaffiliated third parties without your prior consent, except for specific purposes described below. This notice explains our collection, use and safeguarding of your information.

How Wendt Financial Advisors Gathers Information

In connection with providing you with investment management and financial planning services, we may obtain information about you from the following sources:

- Client agreements and other information that you provide to us, whether in writing, in person, by telephone, electronically or by any other means. This information may include your name, address, phone number, email address, social security number, employment information, income, investment experience, and credit references;
- Personal tax returns provided by you;
- Transactions on your behalf. This information may include your account balances, positions, investment interests and history; and
- Public sources.

Sharing Information with Nonaffiliated Third Parties

We only disclose your non-public information to nonaffiliated third parties without your prior consent when we believe it necessary for the conduct of our business on your behalf or as required or permitted by law, such as:

- If you request or authorize the disclosure of the information;
- To provide services or maintenance on your accounts;
- To respond to a subpoena or court order, judicial process, law enforcement or regulatory authorities;
- To perform services for our Firm or on its behalf to develop or maintain trading or other software;
- To help us prevent fraud;
- With rating agencies, persons assessing compliance with industry standards, or to the attorneys, accountants and auditors of the Firm;
- To comply with federal, state or local laws, rules and other applicable legal requirements; and

- Pursuant to any other exceptions enumerated in the Privacy Act of any of the states in which we operate.

We do not make any disclosure of your nonpublic personal information to other companies who may want to sell their products or services to you. For example, we do not sell client lists, and we will not sell client names to catalogue companies.

Opt Out Provision

If, at any time in the future, it is necessary to disclose any of your personal information in a way that is inconsistent with this policy, we will give you advance notice of the proposed disclosure so that you will have the opportunity to either opt-in or opt-out of such disclosure, as required by applicable law.

You are advised that we believe that sharing your private information under the circumstances noted above is either mandated by law or necessary for us to conduct our business and to best service your accounts and our relationship with you. Should you desire to opt out of any third-party disclosures please contact us immediately. Opting out may necessitate that we terminate our management agreement with you and arrange for you to transfer your account.

Former Clients

Our Privacy Policy continues to apply to all former clients.

To Whom This Policy Applies

This Privacy Policy applies to individuals who obtain or have obtained services from Wendt Financial Advisors used primarily for personal, family or household purposes.

Our Security Practices and Information Accuracy

We take steps to safeguard your information. We restrict access to your personal and account information to our staff and agents for business purposes only. We maintain physical, electronic and procedural safeguards to guard your personal information.

Additionally, we have internal controls to keep your information as accurate and complete as we can. If you believe that any information about you is not accurate, please let us know.

Other Information

We reserve the right to change this Statement of Privacy Policy. The examples contained within this Privacy Policy are illustrations, and they are not intended to be exclusive. If you have any questions about our Privacy Policy, please contact Tim Wendt, Chief Compliance Officer at 269.234.5126.

