

## FACTS

# WHAT DOES REALTA DO WITH YOUR PERSONAL INFORMATION?



### Why?

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.

### What?

The types of personal information we collect, and share depend on the product or service you have with us. This information can include:

- Account Number, address, social security number, date of birth, and employment information
- Account balances, transaction history and credit information
- Net worth, assets, income, and investment experience

### How?

All financial companies need to share customers' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' personal information; the reasons Realta chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does Realta share?	Can you limit this sharing?
<b>For our everyday business purposes</b> —to process your transactions, maintain your account(s), respond to regulatory inquiries, court orders and legal investigations, or report to credit bureaus.	Yes	No
<b>For our marketing purposes</b> —to offer our products and services to you	Yes	No
<b>For joint marketing with other financial companies</b>	No	No
<b>For our affiliates' everyday business purposes</b> — information about your transactions and experiences.	No	No
<b>For our affiliates' everyday business purposes</b> — information about your creditworthiness.	No	Yes
<b>For nonaffiliates' everyday business purposes</b> —to assist us in obtaining business or providing account maintenance or customer service to your account(s)	Yes	Yes
<b>For our affiliates to market to you</b> —to offer new products or services to you	No	No
<b>For non-affiliates to market to you</b> —we do not sell, share, or disclose your nonpublic personal information to nonaffiliated third-party marketing companies	No	No

### To limit our sharing

- Call 888.657.5200—ask for "Operations."
- Speak to your assigned account representative.

**Please note:** If you are a **new** customer, we can begin sharing your information 45 days from the date we sent this notice. When you are **no longer** our customer, we continue to share your information as described in this notice. However, you can contact us at any time to limit our sharing.

## Definitions

<b>Affiliates</b>	Companies related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> <li>• Our affiliates include the companies mentioned under “Who we are.”</li> </ul>
<b>Non-affiliates</b>	Companies not related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> <li>• Nonaffiliates, we share with can include financial services companies such as our clearing firm and other custodians or broker and nonfinancial service providers such as IT vendors we use.</li> </ul>
<b>Joint marketing</b>	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. <ul style="list-style-type: none"> <li>• Our joint marketing partners include financial services companies.</li> </ul>

## Who we are

<b>Who is providing this notice?</b>	Realta entities that utilize the following names: Realta Equities, Inc.; Realta Investment Advisors, Inc.; Realta Equities Insurance Agency, Inc.; Realta Risk Advisors, LLC
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## What we do

<b>How does Realta protect my personal information?</b>	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.
<b>How does Realta collect my personal information?</b>	We collect your personal information, for example, when you: <ul style="list-style-type: none"> <li>• open an account or perform transactions.</li> <li>• seek advice about your investments.</li> </ul> We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.
<b>Why can't I limit all sharing?</b>	Federal law gives you the right to limit some but not all sharing related to: <ul style="list-style-type: none"> <li>• affiliates' everyday business purposes—information about your creditworthiness</li> <li>• affiliates from using your information to market to you.</li> <li>• nonaffiliates to market to you</li> </ul> State laws and individual Realta companies may give you more rights to limit sharing. See <i>Other important information</i> section for your rights under state law.
<b>What happens when I limit sharing for an account I hold jointly with someone else?</b>	Your choices will apply to you alone unless you tell us otherwise

## Other important information

**Do Not Call Policy.** This notice is the Realta Do Not Call Policy under the Telephone Consumer Protection Act. We do not solicit via telephone numbers listed on the state or federal Do Not Call lists, unless the law allows. Realta employees receive training on how to document and process telephone marketing choices. Consumers who ask not to receive telephone solicitations from Realta will be placed on the Realta Do Not Call list and will not be called in any future campaigns, including those of Realta affiliates. If you communicate with us by telephone, we may monitor or record the call.

**For Nevada residents only.** We are providing you with this notice under state law. You may be placed on our internal Do Not Call List by following the directions in the *to limit direct marketing* contact section. Nevada law requires we provide the following contact information: Bureau of Consumer Protection, Office of the Nevada Attorney General, 555 E. Washington St., Suite 3900, Las Vegas, NV 89101; Phone number: 702.486.3132; email: [BCPINFO@ag.state.nv.us](mailto:BCPINFO@ag.state.nv.us).

**Vermont:** Under Vermont law, we will not share information we collect about Vermont residents with companies outside of our corporate family, unless the law allows. For example, we may share information with your consent, to service your accounts or under joint marketing agreements with other financial institutions with which we have joint marketing agreements. We will not share information about your credit worthiness within our corporate family except with your consent, but we may share information about our transactions or experiences with you within our corporate family without your consent.

**California:** Under California law, we will not share information we collect about you with companies outside of Realta, unless the law allows. For example, we may share information with your consent, to service your accounts, or to provide rewards or benefits you are entitled to. We will limit sharing among our companies to the extent required by California law.

**For Insurance Customers in AZ, CA, CT, GA, IL, ME, MA, MN, MT, NV, NJ, NC, OH, OR and VA only.** The term “Information” in this part means customer information obtained in an insurance transaction. We may give your Information to state insurance officials, law enforcement, group policy holders about claims experience or auditors as the law allows or requires. We may give your Information to insurance support companies that may keep it or give it to others. We may share medical Information so we can learn if you qualify for coverage, process claims or prevent fraud or if you say we can.

Call (888) 657-5200 or email us at [compliance@Realtawealth.com](mailto:compliance@Realtawealth.com).