



Privacy Policy

01/22/2025

Securities are offered through Steward Partners Investment Solutions, LLC ("SPIS"), registered broker/dealer, member FINRA/SIPC. Investment advisory services are offered through Steward Partners Investment Advisory, LLC ("SPIA"), an SEC-registered investment adviser. SPIS, SPIA, and Steward Partners Global Advisory, LLC are affiliates and collectively referred to as "Steward Partners", the "Firm", we, or "us."

Steward Partners considers the privacy of its customers to be of fundamental importance and has established a policy to securely maintain the information shared with the Firm. Except as described in this policy, we do not disclose customer personal information to third parties. Third party disclosures may include sharing information with non-affiliated companies that perform account support services or facilitate customer transactions with Steward Partners. Non-affiliate services can include providing professional, legal, or accounting advice. Use of customer information provided by the Firm to Non-affiliated companies is limited. Non-affiliates cannot use customer information beyond the purpose required and defined by Steward Partners. Additionally, all Non-affiliated companies must maintain the confidentiality of information provided. Upon request from Steward Partners, Non-affiliated companies must return or destroy all confidential information received.

Upon receipt of the customer's expressed consent, the Firm may also disclose their personal information for the purpose of fulfilling customer instructions. Finally, under limited circumstances, personal information may be disclosed to third parties as permitted by, or to comply with, applicable laws and regulations; for instance, when responding to a subpoena or similar legal process, to protect against fraud and to otherwise cooperate with law enforcement or regulatory authorities or with organizations such as exchanges and clearinghouses.

You should know that Steward Partners will not sell your personal information.

Steward Partners restricts access to your nonpublic personal information to authorized employees. Steward Partners maintains physical, electronic and procedural safeguards to guard nonpublic personal information.

As described in this Policy, the Firm will from time to time share personal information with affiliated companies. If you would like more information about the Firm's Privacy Policy, please write to:

Steward Partners Global Advisory, LLC Attn: Compliance Dept.
15495 SW Sequoia Parkway, Suite #150
Portland, OR 97224

Or call (866) 694-7769 and ask to speak with the Compliance Department. Please see the following pages for further information regarding the Privacy Policy.



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FACTS	WHAT DOES STEWARD PARTNERS HOLDINGS, LLC 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: <ul style="list-style-type: none"> • Social Security number and income • account balances and transaction history • investment history and portfolio values When you are no longer our customer, we continue to share your information as described in this notice.
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 Steward Partners Holdings, LLC chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does Steward Partners Share?	Can You Limit This Sharing?
For our everyday business purposes – such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
For our marketing purposes – to offer our products and services to you	No	No
For joint marketing with other financial companies	No	No
For our affiliates' everyday business purposes – information about your transactions and experiences	Yes	No
For our affiliates' everyday business purposes - information about your creditworthiness	No	No
For our affiliates to market to you	No	N/A
For non-affiliates to market to you	No	N/A
For advisors who leave Steward Partners —if you have a Steward Partners advisor servicing your account(s) who leaves Steward Partners to join another financial institution, the advisor may retain copies of your personal information so that they can continue to serve you at the new firm. In doing so, your advisor may share your information with the new firm but is otherwise required to keep confidential the personal information obtained from you while the advisor was affiliated with Steward Partners, and they may use it only to service your account(s). Please note: Certain states require affirmative consent to allow sharing. See below for more on your rights under state law.	Yes	Yes

Questions	Call (866) 694-7769 or go to www.stewardpartners.com
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Who we are?

Who is providing this notice?

Steward Partners Holdings, LLC and its family of companies:
Steward Partners Investment Solutions, LLC, Member FINRA/SIPC

What we do?

How does Steward Partners Holdings protect my personal information?

To protect personal information from unauthorized access and use, the Firm uses security measures that comply with Federal law. These measures include cybersecurity, physical, electronic, and procedural safeguards along with secured access to Firm facilities. Steward Partners assesses current risks to design specific safeguards that protect customer information and have processes in place to deal with information security incidents if they occur.

How does Steward Partners Holdings collect my personal information?

Steward Partners collects personal information, for example, when customers:

- open an account or perform transactions
- pay for securities transactions or request money be sent
- write a check or use a debit card

The Firm also collects personal information from others, such as credit bureaus, affiliates, or other companies.

Why can't I limit all sharing?

Federal law gives customers the right to limit only:

- sharing for affiliates' everyday business purposes—information concerning creditworthiness
- affiliates from using personal information for marketing
- sharing for non-affiliates to conduct marketing campaigns

State laws and individual companies may limit sharing further.

What happens when I limit sharing for an account I hold jointly with someone else?

Limit sharing choices will apply to everyone on an account.

Definitions

Affiliates

Companies related by common ownership or control. They can be financial and nonfinancial companies.

- Steward Partners affiliate(s) include companies with a common corporate identity of Steward Partners Holdings, LLC, such as Steward Partners Global Advisory, LLC, Steward Partners Investments Solutions, LLC and Steward Partners Investment Advisory, LLC.

Non-affiliates

Companies not related by common ownership or control. They can be financial and nonfinancial companies.

- Steward Partners Holdings, LLC does not share with non-affiliates for the purposes of marketing.

Joint marketing

A formal agreement between nonaffiliated financial companies that together market financial products or services to customers.

- Steward Partners Holdings, LLC does not allow this activity.

Other important information

Customers may have other privacy protections under applicable state laws including those for California and Nevada residents. To the extent the state laws apply, we will comply with them when we share information about you, and in some cases may be limited by the customer.

Vermont: In accordance with Vermont law, the Firm will not disclose information about creditworthiness to affiliates and will not disclose personal information, financial information, credit report, or health information to nonaffiliated third parties for marketing purposes, other than as permitted by Vermont law, unless expressly authorized by the customer to make those disclosures. Additional information concerning the Firm's Privacy Policies can be found at www.stewardpartners.com or call (844) 801-8268.

California Residents: In accordance with California law, the Firm will not share information collected about customers with companies outside of Steward Partners Holdings, LLC, unless the law allows. For example, Steward Partners may share information with customer consent, to service customer accounts. The Firm will limit sharing among our companies to the extent required by California law. For additional information regarding customer rights, please refer to the privacy notice for California residents.

Nevada Residents: Pursuant to Nevada law, the Firm is providing this notice, which applies to accounts with Nevada mailing addresses, to inform customers that they may elect to be placed on the Firm's internal "do not call" list. If you would like to be placed on the list, please let Steward Partners know by simply calling us at (844) 801-8268. Customers may also contact the Bureau of Consumer Protection, Office of the Nevada Attorney General, 555 E. Washington Avenue, Suite 3900, Las Vegas, Nevada 89101 Telephone: (702) 486-3132 Email BCPINFO@ag.state.nv.us.