

PRIVACY NOTICE REGARDING CLIENT PRIVACY

Maintaining the trust and confidence of our clients is a high priority. That is why we want you to understand how we protect your privacy when we collect and use information about you, and the steps that we take to safeguard that information. This notice is provided to you on behalf of our firm.

Information We Collect: In connection with providing investment products, financial advice, or other services, we obtain non-public personal information about you, including:

- Information we receive from you on account applications, such as your address, email address, date of birth, Social Security Number, occupation, assets, liabilities and income;
- Information about your transactions with us, our affiliates, or others

Categories of Information We Disclose: We may disclose only certain information that we collect. We do not sell customer lists and will not sell your name to others.

Categories of Parties to Whom We Disclose: We will not disclose information regarding you or your account with us, except under the following circumstances:

- To your authorized Representative and his or her manager;
- To entities that perform services for us or function on our behalf, including real estate brokers or agents, real estate company, financial service providers, such as mortgage brokers or loan officers, bank, lender or servicer, escrow or insurance company;
- To your attorney, trustee or anyone else who represents you in a fiduciary capacity;
- To our attorneys, accountants or auditors; and
- To government entities or other third parties, only in response to subpoenas or other legal process as required by law or to comply with regulatory inquiries.

How We Use Information: Information may be used among companies that perform support services for us, such as data processors, technical systems consultants and programmers, or companies that help us market products and services to you for a number of purposes, such as:

- **To protect your information** from unauthorized access or identity theft;
- **To establish or maintain an account with an unaffiliated third party**, such as a real estate agent or broker, a lender or entity providing services to you and/or us;
- **To keep you informed** about products and services of interest to you.

Our Security Policy: We restrict access to nonpublic personal information about you to those individuals who need to know that information to provide products or services to you and perform their respective duties. We maintain physical, electronic, and procedural security measures to safeguard confidential client information.

Closed or Inactive Files: If you decide to close your file(s) or become an inactive customer, our Privacy Policy will continue to apply to you.

Complaint Notification: Please direct complaints in writing to: Results Advisors, Inc., 16520 Bake Parkway, Suite 200, Irvine, CA 92618.

Changes to This Privacy Policy: If we make any substantial changes in the way we use or disseminate confidential information, we will notify you. If you have any questions concerning this Privacy Policy, please write to: Results Advisors, Inc., 16520 Bake Parkway, Suite 200, Irvine, CA 92618.