



## STEWARD PARTNERS INVESTMENT SOLUTIONS

*Member FINRA/SIPC*

### **Privacy Policy**

Steward Partners Investment Solutions considers the privacy of its customers to be of fundamental importance and has established a policy to maintain the privacy of the information that you share with us.

Steward Partners Investment Solutions does not disclose your personal information to third parties, except as described in this policy. Third party disclosures may include sharing such information with non-affiliated companies that perform support services for your account or facilitate your transactions with SPIS, including those that provide professional, legal or accounting advice to SPIS. Non-affiliated companies that assist SPIS in providing services to you are required to maintain the confidentiality of such information to the extent they receive it and to use your personal information only while providing such services and only for the purposes that SPIS dictates.

We may also disclose your personal information to fulfill your instructions, to protect our rights and interests and those of our business partners or pursuant to your express consent. Finally, under limited circumstances, your 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 Investment Solutions will not sell your personal information.*

We restrict access to your nonpublic personal information to authorized employees. We maintain physical, electronic and procedural safeguards to guard your nonpublic personal information.

As described in this policy, we will from time to time share personal information with affiliated companies. If you would like more information about our privacy policy, please write us at:

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

Or call (800) 452-1929 and ask to speak with the Compliance Department. Please see the following pages for further information regarding our privacy policy.



Member FINRA/SIPC

<b>FACTS</b>	<b>WHAT DOES STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC, DO WITH YOUR PERSONAL INFORMATION?</b>
<b>Why?</b>	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.
<b>What?</b>	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"> <li>• Social Security number and income</li> <li>• account balances and transaction history</li> <li>• investment history and portfolio values</li> </ul> When you are no longer our customer, we continue to share your information as described in this notice.
<b>How?</b>	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 Investment Solutions chooses to share; and whether you can limit this sharing.

<b>Reasons we can share your personal information</b>	<b>Does Steward Partners Investments Solutions Share?</b>	<b>Can You Limit This Sharing?</b>
<b>For our everyday business purposes</b> – such as to process your transactions, maintain your account(s), respond to 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	No	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	Yes	No
<b>For our affiliates’ everyday business purposes</b> - information about your creditworthiness	No	No
<b>For our affiliates to market to you</b>	No	We don’t share
<b>For non-affiliates to market to you</b>	No	We don’t share

<b>Questions</b>	Call (800) 452-1929 or go to <a href="http://www.stewardpartnersis.com">www.stewardpartnersis.com</a>
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## Who we are

**Who is providing this notice?** Steward Partners Investment Solutions, LLC, Member FINRA/SIPC

## What we do

<b>How does Steward Partners Investment Solutions 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 cybersecurity, physical, electronic, and procedural safeguards along with secured access to our facilities. We assess current risks to design specific safeguards that protect customer information and have processes in place to deal with information security incidents if they occur.
<b>How does Steward Partners Investment Solutions 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>• pay for your securities transactions or request money be sent to you</li><li>• write a check or use your debit card</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 only: <ul style="list-style-type: none"><li>• sharing for affiliates' everyday business purposes—information about your creditworthiness</li><li>• affiliates from using your information to market to you</li><li>• sharing for non-affiliates to market to you</li></ul> State laws and individual companies may give you additional rights to limit sharing. See below for more on 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 everyone on your account.

## 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 affiliate(s) include companies with a common corporate identity of Steward Partners Holdings, LLC, such as Steward Partners Global Advisory, LLC and Steward Partners Investment Advisory, LLC.</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>• Steward Partners Investment Solutions, LLC does not share with non-affiliates so they can market to you.</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>• Steward Partners Investment Solutions, LLC does not allow this activity.</li></ul>

## Other important information

You may have other privacy protections under applicable state laws including those for Vermont, 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 you.

**Vermont:** In accordance with Vermont law, we will not disclose information about your creditworthiness to our affiliates and will not disclose your personal information, financial information, credit report, or health information to nonaffiliated third parties to market to you, other than as permitted by Vermont law, unless you authorize us to make those disclosures. Additional information concerning our privacy policies can be found at [www.stewardpartnersis.com](http://www.stewardpartnersis.com) or call 1.800.452.1929.

**California Residents:** In accordance with California law, we will not share information we collect about you with companies outside of Steward Partners Investment Solutions, LLC, unless the law allows. For example, we may share information with your consent, to service your accounts. We will limit sharing among our companies to the extent required by California law. For additional information regarding your rights, please refer to the privacy notice for California residents.

**Nevada Residents:** Pursuant to Nevada law, we are providing this notice, which applies to accounts with Nevada mailing addresses, to inform you that you may elect to be placed on our internal "do not call" list. If you would like to be placed on the list, please let us know by simply calling us at (800) 452-1929. You 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](mailto:BCPINFO@ag.state.nv.us).