



Independent Wealth Network

Independent Wealth Network, Inc., is a SEC Registered Investment Advisor.

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Ph: 602-494-0020

www.indwealth.net

Privacy Policy

Notice Regarding Treatment of Confidential Information

Privacy Notice To Our Clients. Independent Wealth Network, Inc. (IWN) strongly believes in confidentiality and protecting the information we collect. This notice describes our privacy policy and explains how we treat information we receive.

Why We Collect And How We Use Information. When we fulfill your request for services, provide investment advice, or process transactions for your account, you typically provide us with the required personal information. We may occasionally also use that information to offer you other services we believe provide value or benefit to you.

What Information We Collect. The information we collect may include:

- Name and address;
- Social Security or taxpayer identification number;
- Assets;
- Income;
- Account balance;
- Investment activity;
- Accounts and/or account numbers at other institutions.

How We Protect Information. We will not sell your personal information to anyone. We treat all information about current and former clients and their accounts in a confidential manner. Our employees may access information and provide it to third parties only when completing a transaction at your request or while providing other services to you.

At your written request, we may disclose information to attorneys, accountants, lawyers, securities professionals, or others to assist them in providing services to you. We may also share information with companies that perform services on our behalf, such as the companies that we hire to perform marketing or administrative services. Companies we may hire to provide support services are never allowed to use your personal information for their own purposes. We may make additional disclosures as permitted by law.

We also maintain physical, electronic, and procedural safeguards to protect information. Employees and our professional service representatives are required to comply with our established information confidentiality provisions.

Access to and Correction of Information. Federal law gives you the right to restrict the information we share with external organizations. To limit our sharing, you must opt-out by sending a request to IWN Compliance Department at 2763 86th Street, Urbandale, IA 50322. If you limit sharing for any account, your choices will apply to everyone on your account.

If your personal information with us becomes inaccurate or you need to make a change to that information, please contact either the Phoenix or Urbandale corporate offices so we can update our records.

Business Continuity Plan Summary (BCP)

Emergency Contact Persons

IWN's emergency contact persons are Jeff Zupancic, CEO (602-494-0080 or jeff@indwealth.net) or Art Dinkin, President (515-225-3354 or adinkin@indwealth.net). This plan is subject to modification and updated versions will be posted to the firm website, www.indwealth.net and customers may also request a written copy of the plan by mail.

Firm Policy

Our policy is to respond to a Significant Business Disruption (SBD) by safeguarding employees' lives and firm property, making an operational assessment, quickly recovering and resuming operations, protecting all the firm's books and records, and allowing our customers to transact business. If we determine we are unable to continue our business, we will assure customers prompt access to their funds and securities. Our policy is distributed to all employees, posted on the firm's website, delivered to customers at account opening, and mailed to customers upon request.

Our plan anticipates two kinds of SBD's, internal and external. Internal SBD's affect our Urbandale, IA or Phoenix, AZ offices ability to communicate and do business, such as a fire in the building. External SBD's prevent the operation of the securities markets or several firms, such as a terrorist attack, a weather event, or other wide-scale disruption. Our response to an external SBD relies more heavily on other organizations and systems, especially on the capabilities of external service providers and our Custodian. IWN's intent is to stay in business during either an internal or an external SBD which may be expected to last longer than eight (8) hours by relocating key employees to an alternative work site to continue business functions as quickly as possible. If it is determined that the firm cannot recover and stay in business, customers may contact the Custodian, TD Ameritrade (800-669-3900) for access to their funds and securities. For customer assets held outside TD Ameritrade such as accounts with third party managers, mutual funds or insurance and annuity contacts, please refer to your individual statements for their direct contact information.

IWN and our custodian partners have back up facilities off-site which are tested and secure. In the event these locations are activated, the firm will communicate to our clients via a message on the effected office's phone system, email, post a notice on the firm website, and/or by whatever means available providing details of the situation and reminding customers of their access capabilities. IWN has made contingent back up plans for power, phone, internet, and banking services to avoid any unnecessary delays in evoking this plan.

PLEASE DIRECT ANY QUESTIONS ABOUT THIS NOTICE TO YOUR INVESTMENT ADVISOR REPRESENTATIVE.