

# FACTS

## WHAT DOES STRATEGIC WEALTH GROUP REGISTERED INVESTMENT ADVISOR, 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:

- Social Security number and income
- Account balances and payment history
- Credit history and credit scores

### 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 we choose to share; and whether you can limit this sharing.

Reasons we can share your personal information	Do we share?	Can you limit this sharing?
<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	Yes	Yes
<b>For joint marketing with other financial companies</b>	No	We don't share
<b>For our affiliates' everyday business purposes—</b> information about your transactions and experiences	Yes	Yes
<b>For our affiliates' everyday business purposes—</b> information about your creditworthiness	Yes	Yes
<b>For our affiliates to market to you</b>	Yes	Yes
<b>For non-affiliates to market to you</b>	No	We don't share
<b>To limit our sharing</b>	<ul style="list-style-type: none"> <li>• Mail the form below</li> </ul> <p><b>Please note:</b></p> <p>If you are a <i>new</i> customer, we can begin sharing your information from the date you received this notice. When you are <i>no longer</i> our customer, we continue to share your information as described in this notice.</p> <p>However, you can contact us at any time to limit our sharing.</p>	
<b>Questions?</b>	Call <b>952-955-7865</b>	

Who we are	
Who is providing this notice?	<b>Strategic Wealth Group Registered Investment Advisor, LLC</b>
What we do	
How do we protect my personal information?	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.
How do we collect my personal information?	We collect your personal information, for example, when you <ul style="list-style-type: none"> <li>• Open an account or deposit money</li> </ul>
Why can't I limit all sharing?	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.
What happens when I limit sharing for an account I hold jointly?	Your choices will apply to everyone on your account—unless you tell us otherwise.
Definitions	
<b>Affiliates</b>	Companies related by common ownership or control. They can be financial and non-financial companies.
<b>Non-affiliates</b>	Companies not related by common ownership or control. They can be financial and nonfinancial companies.
<b>Joint marketing</b>	A formal agreement between non-affiliated financial companies that together market financial products or services to you.
Opt-out Policy:	

Non-public personal confidential information is any personal information, not available from public sources, about a client or consumer. It generally includes name, address, age, social security number, assets, income, net-worth, account balances, account numbers, beneficiary information, or investment history that cannot be found in public sources. Publicly available information would be details available from federal, state, or local government records; widely distributed media (such as telephone directories or newspapers); or information disclosed to the public as required by federal, state, or local law. Under Gramm-Leach-Bliley Act, each investment adviser must give its customers the firm's privacy policies.

Your Financial Advisor may change brokerage and investment advisory firms. So that you may continue to work with your advisor after your advisor changes firms, you authorize us and your advisor to share the nonpublic personal information we and your advisor collected with the advisor's new firm. If you do not want your financial advisor or us to provide this information to the new firm, please contact us to *opt- out* of this sharing as follows.

- In writing to: Strategic Wealth Group, 7820 Terrey Pine Ct, #200, Eden Prairie, MN 55347; or
- Call us at: 952-955-7865.

If you have a joint account, your choice(s) will apply to everyone on your account unless you mark below.

☐ **Apply only to me**

\_\_\_\_\_ (Client Initial Here)

\_\_\_\_\_ (Client Initial Here)

Mark any you want to limit:

- ☐ Do not share information about my creditworthiness with your affiliates for their everyday business purposes.
- ☐ Do not allow your affiliates to use my personal information to market to me.
- ☐ Do not share my personal information with non-affiliates to market their products and services to me.

I hereby **opt-out** from allowing Strategic Wealth Group Registered Investment Advisor, LLC to provide my non-public confidential information to non-affiliated third parties.

**Exceptions to Opt-out:**

The opt-in requirement also **does not** apply to disclosure of confidential information in the following circumstances:

- For resolving consumer or customer disputes or inquiries;
- To persons holding a legal or beneficial interest relating to the consumer or customer;
- To persons acting in a fiduciary or representative capacity on behalf of a consumer or customer;
- To provide information to agencies assessing your firm’s compliance with industry standards, and to your attorneys, accountants, and auditors;
- In connection with the sale or merger of our firm;
- To respond to a regulator’s examination;
- To comply with a civil, criminal, or regulatory investigation by federal, state, or local authorities.

**California, Nevada and Vermont Clients.**

If you live in one of these states, we will procure your affirmative authorization to share the nonpublic personal information we and your advisor collected with the advisor’s new firm. You may provide this *opt-in* now by completing the attached below, or your advisor will contact you to obtain your authorization. You may contact us as indicated above to direct any questions about these or any of our policies and procedures.

Opt-in Form	
Name	
Address	
City, State, Zip	
Account #	
<div>Mail to: Strategic Wealth Group Registered Investment Advisor, LLC 7820 Terrey Pine Ct, #200 Eden Prairie, MN 55347</div>	