

Ascendant Financial Solutions, Inc. Privacy Notice

Ascendant Financial Solutions, Inc. (“AFS”) prioritizes protecting your confidential information and value the trust you have placed in us. Financial companies share your personal information and federal law gives clients the right to limit some, but not all, of that sharing.

AFS maintains safeguards to ensure your information is protected. Access to nonpublic information is restricted to those personnel who need it to provide service to you or to conduct AFS business. Physical and electronic safeguards are also in place to further protect your data.

AFS collects information to provide services and products to help you meet your financial goals and objectives and to comply with regulatory requirements. Nonpublic information comes from various sources including, but not limited to:

- Applications and related forms which include your Social Security or Tax ID number, birthdate, financial information, and medical information (for insurance services)
- Custodians or product vendors who provide account balance and transaction information
- Employer, Association, or Benefit Sponsor for group products
- Consumer reports, demographic, and medical reporting agencies, depending on products you have chosen

We collect the following types of personal information:

- Contact information and other identifiers, such as name, postal address, email address, phone number, Social Security Number or Tax Identification Number.
- Demographic and family information, such as date of birth, marital status, dependents, beneficiaries, citizenship, and information about related parties to an account.
- Financial, professional, and educational information such as investment objectives & experience, assets, income, expenses, net worth, tax status, holdings, transaction history, and employment information

AFS may disclose personal information to financial service providers that maintain or service your accounts, and as permitted by law, such as:

- Our staff and representatives
- Gēneos Wealth Management, Inc. a broker/dealer
- Custodians, investment companies, and product vendors who provide you with products and/or services
- Insurance agents and insurance companies
- Third-party administrators and vendors who administer or enforce transactions or services
- Consumer reporting agencies in connection with insurance coverage

Your personal information is used to identify you as a client or former client, providing products and services and complying with regulatory and legal requirements.

Medical or health information obtained is not used nor shared internally or externally for any purpose other than directly related to the administration of your policy, account, or claim, as required or permitted by law, or as authorized by you.

AFS does not disclose information to nonaffiliated third parties about our current or former clients except as required by law. If our policy changes, you will be notified by receiving an amended Privacy Notice prior to disclosing your information. You will be given options concerning what information may be shared. You may also choose to opt out of information sharing with nonaffiliated third parties

AFS may be required by law or regulation to disclose information to a third party in response to a subpoena, to prevent fraud, to comply with regulations, in response to industry regulators, and in order to comply with Gēneos Wealth Management, Inc.’s policies to whom our associated persons are registered.

If you transfer your account, AFS may share your information with the new broker/dealer or custodian that you select. If the representative servicing your account joins another firm, s/he is permitted to retain copies of your information to continue to serve you at the new firm. S/he is still required to keep your personal information confidential and may only use it to service your account. If you wish to opt out of having your representative take your personal information if they leave AFS, please send a written request to:

Ascendant Financial Solutions
809 West Riordan, Suite 104
Flagstaff AZ 86001

AFS will affirm our Privacy Policy at least annually in writing, provided you maintain an ongoing relationship with us. If you close your account or cease services with us, we will continue to adhere to the Privacy Policy unless we notify you by providing an amended Privacy Notice.

California Residents: The California Consumer Privacy Act (CCPA) provides California residents with rights to receive certain disclosures regarding the collection, use and sharing of "Personal Information" as well as rights to know/access, delete and limit sharing of "Personal Information". As a financial services organization, much of the information we collect is exempt from the CCPA because it is covered by federal or state privacy laws, such as the Gramm-Leach-Bliley Act. The CCPA defines Personal Information to mean "information that identifies, relates to, describes, is reasonably capable of being associated with or could reasonably be linked, directly or indirectly, with a particular consumer or household." We do not sell your Personal Information; however, as described in this policy, we do disclose information about you to third parties who provide you with financial products and services. To the extent that we collect Personal Information that is subject to the CCPA, you have the right to request access to Personal Information we have collected about you in the preceding 12 months, the purposes for which we collected it and the categories of third parties with whom we shared it. Additionally, you have the right to request in certain circumstances that we delete any Personal Information that we have collected directly from you; however, there may be certain exceptions as defined in the CCPA that prevent or limit our ability to comply with your request.

To submit a request to exercise your right to access or delete your Personal Information under the CCPA, please call us at 928-774-9598 or submit a written request to us at:

Ascendant Financial Solutions
809 West Riordan, Suite 104
Flagstaff AZ 86001

All requests are subject to a verification process. Request by an authorized agent are subject to additional documentation requirements as described below.

Verification Procedures:

To process your request to access or delete Personal Information we collect; we must verify your request. We do this by requesting that you verify personal identifiers, such as your name, address, date of birth, account number that we have previously collected from you.

Requests by Authorized Agent:

You may authorize another individual or business to make requests on your behalf. We require that you provide legal documentation confirming the identity and authority of an authorized agent to act on your behalf. Such documentation may include but is not limited to, a power of attorney, court documents (letters of testamentary, guardianship documents), or notarized statements.