

PRIVACY NOTICE

FACTS	WHAT DOES AE FINANCIAL SERVICES (“AEFS”) 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?	<p>The types of personal information we collect and share depend on the product or service you have with us. This information can include:</p> <ul style="list-style-type: none"> • Social Security number and investment experience • Income and risk tolerance • Assets and account transactions <p>When you are <i>no longer</i> our customer, we continue to share your information as described in this notice.</p>		
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 AEFS chooses to share; and whether you can limit this sharing.		
REASONS WE CAN SHARE YOUR PERSONAL INFORMATION		DOES AEFS SHARE?	CAN YOU LIMIT THIS SHARING?
For our everyday business purposes – such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus		Yes	No
For our marketing purposes – to offer our products and services to you		Yes	No
For joint marketing with other financial companies		No	AEFS doesn’t share
For our affiliates’ everyday business purposes – information about your transactions and experiences		Yes	No
For our affiliates’ everyday business purposes – information about your creditworthiness		No	AEFS doesn’t share
For nonaffiliates to market to you		No	AEFS doesn’t share
For non-affiliated broker-dealers to supervise registered representatives that are also registered representatives of AEFS – client account and transaction information		Yes	Yes
If your registered representative leaves AEFS, we may allow her/him to take your contact and account information in order to continue providing services to you.		Yes	Yes
WHAT WE DO			
How does AEFS 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. These measures include computer safeguards and secured files and buildings.		
How does AEFS collect my personal information?	<p>We collect your personal information, for example, when you</p> <ul style="list-style-type: none"> • Open an account or give us your contact information • Seek recommendations regarding your securities or tell us about products you own • Enter into various direct business purchases • Direct us to buy or sell your securities <p>We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.</p>		
Why can’t I limit all sharing?	<p>Federal law gives you the right to limit only:</p> <ul style="list-style-type: none"> • Sharing for affiliates’ everyday business purposes – information about your creditworthiness • Affiliates from using your information to market to you 		

What happens when I limit sharing for an account I hold jointly with someone else?

- Sharing for nonaffiliates to market to you

State laws and individual companies may give you additional rights to limit sharing.

Your choices will apply to everyone on your account.

DEFINITIONS

Affiliates Companies related by common ownership or control. They can be financial and nonfinancial companies.

- *Our affiliates include financial companies such as Advisors Excel, LLC and AE Wealth Management, LLC.*

Nonaffiliates Companies not related by common ownership or control. They can be financial and nonfinancial companies.

- *AEFS does not share with nonaffiliates so that they can market to you.*

Joint Marketing A formal agreement between nonaffiliated financial companies that together market financial products or services to you.

- *AEFS doesn't jointly market.*

TO LIMIT OUR SHARING

- Call (866) 363-9595 and ask for the Compliance Department or
- Mail in the form provided at the end of this notice.

If you are a *new* customer, we can begin sharing your information 30 days from the date we sent this notice. When you are *no longer* our customer, we continue to share your information as described in this notice. However, you can contact us at any time to limit our sharing.

QUESTIONS? Call (866) 363-9595

MAIL-IN FORM

Mark if you want to limit:

Sharing information about my transactions for supervision purposes to non-affiliated broker-dealers.

Mark if you want to limit:

Sharing my contact and account information if my registered representative leaves AEFS.

Name _____

Address _____

City, State, Zip _____

Date of Birth _____

Mail To: _____

*please provide all information listed above

Attn: Compliance
 AE Financial Services
 2950 SW McClure Rd., Ste. B
 Topeka, KS 66614