

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?	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"> ● Social Security number and investment experience ● Income and risk tolerance ● Assets and account transactions When you are <i>no longer</i> our customer, we continue to share your information as described in this notice.
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 – for clients with accounts established with an AEFS independent financial professional		
* If your independent financial professional terminates their relationship with us and moves to another brokerage firm, we or your independent financial professional may disclose your personal information to the new firm, unless you instruct us otherwise (as described below).	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.
How does AEFS collect my personal information?	We collect your personal information, for example, when you <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 We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.
Why can’t I limit all sharing?	Federal law gives you the right to limit only: <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 ● Sharing for nonaffiliates to market to you State laws and individual companies may give you additional rights to limit sharing.

PRIVACY NOTICE

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

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 companies such as Advisors Excel, LLC, AE Wealth Management, LLC, Madison Avenue Securities, LLC, and Impact Partnership Wealth, LLC.*

Nonaffiliates

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

- *Non-affiliates we may share information with include an independent representative's new brokerage firm.*

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 AEFS Operations 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

I do not want AEFS to share my contact and account information if my registered representative leaves AEFS.

By completing and returning this form, I am instructing AEFS to limit the personal information about me that my financial professional could disclose and take if they move to another brokerage firm and terminate their relationship with AEFS. However, I understand that AEFS may disclose my name, address, telephone number, email and the account title of my accounts serviced by my financial professional to the new brokerage firm as allowed under federal law, certain state laws, and the Protocol for Broker Recruiting.

Name

Address

City, State, Zip

Date of Birth

*please provide all information listed above to ensure your election is able to be recorded

Mail To:

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