



PRIVACY NOTICE

Maintaining the trust and confidence of our clients is a high priority. That is why we want you to understand how we protect your privacy when we collect and use information about you, and the steps that we take to safeguard that information. This notice is provided to you on behalf of Advanced Regulatory Compliance LLC (“ARC”).

Information We Collect: In connection with providing compliance services, we obtain non-public personal information about you. All of the information is intended for business purposes, including:

- Information we receive from you during our initial client intake and subsequent contacts, such as your name, contact information, payment information, address, date of birth, Social Security Number, occupation, business goals and assets under management;
- Information such as name, company, email address, and phone number if you choose to sign up to our newsletter or attend a firm-sponsored event.
- Information about your transactions with us, our affiliates, or others;
- Information about your visit to our website. This information includes IP Address and network information like date and time of pages visited. We store that information in web server logs, which are records of the activities on our sites. The servers automatically capture and save the information electronically. The information we collect in web server logs helps us administer the site, analyze its usage, protect the website and its content from inappropriate use and improve the user’s experience.
- Information outside of our website including any third-party sources like websites, etc. Please be aware that some links on our website may direct you to websites operated by third parties. Information submitted on these websites is provided to the owner of the third-party websites, not ARC, and are subject to their separate privacy policies and not this current policy.

Categories of Information We Disclose: We may only disclose information that we collect in accordance with this policy. ARC does not sell customer lists and will not sell your name to telemarketers.

Categories of Parties to Whom We Disclose: We will not disclose information regarding you or your account at ARC, except under the following circumstances:

- To entities that perform services for you or function on your behalf, including financial service providers, such as a clearing broker-dealer, investment company, or insurance company, other investment advisers;
- To consumer reporting agencies,
- To third parties who perform services or marketing, client resource management or other parties to help manage your account on our behalf;
- To your attorney, trustee or anyone else who represents you in a fiduciary capacity;
- To our attorneys, accountants or auditors; and
- To government entities or other third parties in response to subpoenas or other legal process as required by law or to comply with regulatory inquiries.

How We Use Information: Information may be used among companies that perform support services for us, such as data processors, client relationship management technology, technical systems consultants and programmers, or companies that help us market products and services to us for a number of purposes such as protecting your accounts/non-public information from unauthorized access or identity theft. In addition, we may cooperate with government and law enforcement officials as required by applicable law. We may also share your personal information in response to any information that may be required for ongoing investigation.

If a company acquires our business or assets, that company will obtain the personal information collected from us and will obtain the rights and obligations pursuant to this privacy policy.

Cookies: Cookies are files with small amount of data that is commonly used an anonymous unique identifier. These are sent to your browser from the website that you visit and are stored on your computer's hard drive. Cookies may obtain information such as device IP address, unique device ID, current hardware/software, Internet Service Provider, geographical area, location data, browser type, operating system, search history, etc. While our website does not use these "cookies" to collect information, Google Analytics collects the information from these cookies. Regardless, you have the option to either accept or refuse these cookies and know when a cookie is being sent to your computer. If you choose to refuse the cookies, you may not be able to use some portions of our website.

Our Security Policy: We restrict access to nonpublic personal information about you to those individuals who need to know that information to provide products or services to you and perform their respective duties. We maintain physical, electronic, and procedural security measures to safeguard confidential client information.

Cyber Security: Internal policies and procedures are in place to address cyber security.

Your Right to Opt Out: Federal privacy laws give you the right to restrict some sharing of your personal financial information. While our firm does not sell any information, we understand the importance of sensitive information and thus, also comply with the California Consumer Privacy Act in allowing the opportunity to opt-out. For California-specific clients, please see the addendum for further information on your rights. These laws balance your right to privacy with ARC's need to share information for normal business purposes. You have the right to opt out of some information sharing with companies that are (1) Part of the same corporate group as our company (or affiliates); or (2) Not part of the same corporate group as our company (or non-affiliates). Choosing to restrict the sharing of your personal information will not apply to (1) Information about you to firms that help promote and market the company's own products or products offered between two companies; (2) Information about you in response to a court order; and (3) Your payment history on loans and credit cards to credit bureaus. If you opt out, you limit the extent to which ARC can provide your personal information to non-affiliates. Here is the link to opt out of [Google Analytics](#). Keep in mind that this opt out is only applicable on your current device; if you wish to opt out for other devices, you must complete this process again on the device being used.

Closed or Inactive Accounts: If you decide to close your account(s) or become an inactive customer, our Privacy Policy will continue to apply to you.

Complaint Notification: Please direct complaints to: Patrick Burns at Advanced Regulatory Compliance LLC, 8383 Wilshire Boulevard, Suite 950 Beverly Hills, CA 90211; (310) 275-7300.

Changes to This Privacy Policy: If we make any substantial changes in the way we use or disseminate confidential information, we will notify you and upload the newest version on our website. If you have any questions concerning this Privacy Policy, please contact us at: Advanced Regulatory Compliance LLC, 8383 Wilshire Boulevard, Suite 950 Beverly Hills, CA 90211; (310) 275-7300.