

FACTS

WHAT DOES AXIENT INVESTMENT ADVISORS LLC
AND AXIENT FINANCIAL SERVICES (COLLECTIVELY
AXIENT) 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 employment information Account Balances and transaction history Investment Experience and Income
How?	All financial companies need to share clients' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their clients' personal information; the reasons Axient chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does Axient 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	YES
For joint marketing with other financial companies	NO	WE DON'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	WE DON'T SHARE
For our affiliates to market to you	YES	YES
For nonaffiliates to market to you	NO	WE DON'T SHARE

To limit our sharing	Call 833.414.0378 Visit us online: www.Axientadvisors.com or Mail the form below Please note: If you are a <i>new</i> customer, we can begin sharing your information 30 days from the date we sent this notice. When you are <i>no longer</i> 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 833.414.0378 or go to www.Axientadvisors.com



Mail-in Form

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

☐ Apply my choices only to me

Mark any/all 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 nonaffiliates to market their products and services to me.

Name

Address

City, State, Zip

Account #

Mail to:

Axient

403 Madison St SE

2nd Floor

Huntsville, AL

35801

Who we are

Who is providing this notice?	Axient Investment Advisors LLC and Axient Financial Services LLC
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What we do

How does Axient 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 building. We limit employee and agent access to information only to those who have a business or professional reason.
How does Axient collect my personal information?	We collect your personal information, for example, from ■ Account Opening Applications or other forms ■ Deposits and transactions with us ■ Conversations with you when you seek advice about your investments or enter into an investment advisory contract ■ Other companies legally allowed to share information ■ Other documentation you provide us
Why can't I limit all sharing?	Federal law gives you the right to limit only ■ 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.
What happens when I limit sharing for an account I hold jointly with someone else?	Your choices will apply to everyone on your account – unless you tell us otherwise.

Definitions

Affiliates	Companies related by common ownership or control. They can be financial and non-financial companies.
Nonaffiliates	Companies not related by common ownership or control. They can be financial and non-financial companies.
Joint marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you.

Other important information

Axient Investment Advisors Financial Professionals: If your financial professional's affiliation with Axient ends, and they join a non-affiliated investment advisor or broker-dealer, your financial professional may be permitted to use limited information to contact you to join their new firm, as a usual means to continue service and maintain your accounts. The information they use is limited to your name, address, email address, phone number and account title.

You may have other privacy protections under applicable state laws. To the extent the state laws apply, we will comply with them when we share information about you, and in some cases may be limited by you.

For California Residents: We will not share personal information with affiliates or non-affiliates except as necessary for us to follow the law or as permitted by law.