

# FACTS

## WHAT DOES FOCUS FINANCIAL NETWORK, INC. 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:

- Date of birth and citizenship
- Social Security number, passport number or other government-issued identification number
- Assets, income, investment objectives, and financial goals
- Account numbers, account balances, and transaction information

### 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 Focus Financial Network, Inc. ("Focus Financial") chooses to share; and whether you can limit this sharing.

Reasons we could share your personal information	Does Focus Financial share?	Can you limit sharing?
For our everyday business purposes—such as processing your transactions, maintaining your account(s), responding to court orders and legal investigations, or reporting 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	We do not share
For our affiliates' everyday business purposes—information about your transactions and experiences	No	We do not share
For our affiliates' everyday business purposes—information about your creditworthiness	No	We do not share
For our affiliates to market to you	No	We do not share
For nonaffiliates to market to you	No	We do not share

### To limit our sharing

- Call the Compliance Department at 651-631-8166 OR
- Send an e-mail to [compliance@focusfinancial.com](mailto:compliance@focusfinancial.com) OR
- Mail the form below

**Please note:**

If you are a *new* client, we can begin sharing your information 30 days from the date we sent this notice. When you are *no longer* our client, 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 651-631-8166.

### 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 the type of sharing you want to limit:

- Do not allow your Advisors to take my personal information to a new firm, if they change investment advisory firms.

Name

Address

City, State, Zip

Country

[Account #]

Mail to:

Focus Financial Network, Inc.  
1300 Godward Street NE  
Suite 5500  
Minneapolis, MN 55413

Who we are	
<b>Who is Providing this notice?</b>	Focus Financial Network, Inc.
What we do	
<b>How does Focus Financial protect my personal information?</b>	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.
<b>How does Focus Financial collect my personal information?</b>	We collect your personal information, for example, when you: <ul style="list-style-type: none"> <li>▪ tell us about your financial profile</li> <li>▪ tell us about an investment or retirement portfolio</li> <li>▪ open an account or perform transactions</li> <li>▪ make a wire transfer or tell us where to send money</li> </ul>
<b>Why can't I limit all sharing?</b>	Federal law gives you the right to limit only: <ul style="list-style-type: none"> <li>▪ sharing for affiliates' everyday business purposes— information about your creditworthiness</li> <li>▪ affiliates from using your information to market to you</li> <li>▪ sharing for nonaffiliates to market to you</li> </ul> State laws and individual companies may give you additional rights to limit sharing.
<b>What happens when I limit sharing for an account I hold jointly with someone else?</b>	Your choices will apply to everyone on your account unless you tell us otherwise.
Definitions	
<b>Affiliates</b>	Companies related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> <li>▪ <b><i>We do not share with affiliates</i></b></li> </ul>
<b>Nonaffiliates</b>	Companies not related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> <li>▪ <b><i>We do not share with nonaffiliates so they can market to you</i></b></li> </ul>
<b>Joint marketing</b>	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. <ul style="list-style-type: none"> <li>▪ <b><i>We do not have any joint marketing arrangements</i></b></li> </ul>
Other Important Information	
<p>Generally, we permit our Registered Advisors to take your name, address, and email address with them to their new firm if they change investment advisory firms, so that the Advisor can continue to service your account(s) at the new firm. If you do not want the Advisor who is/was assigned to your account at Focus Financial to use or transfer this information, please call us at 651-631-8166 to opt out of this sharing. An Advisor may ask you to affirmatively consent to take additional nonpublic personal information about you to their new firm. If you do consent, you can withdraw your consent at any time by contacting us at 651-631-8166.</p> <p>This notice applies to retail accounts opened for personal, family, or household purposes and not to commercial or institutional accounts.</p>	

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