

Aja Financial LLC Privacy Policy

To limit our sharing:	You may contact us concerning limiting the sharing of your personal information by calling 1-334-744-0761. <u>Please note:</u> <i>AF does not intend to ever provide your personal information to any entity, except those as needed for the conduct of everyday business and servicing of your accounts. AF does not sell client information for marketing purposes.</i>
FACTS	What does Aja Financial LLC (“AF”) do with your personal information?
Why?	Financial companies chose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing of your personal information. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully in order to better understand what AF does.
What?	The types of personal information we collect and share depend on the product or service you have with AF. This information can include: <ul style="list-style-type: none"> • Social Security Number, Date of Birth, and Income • Assets and Investment Experience • Account Transactions and Retirement Assets • Tax Reporting and Investment Performance Information When you are no longer a customer of AF, we may 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 next section, we list the reasons financial companies can share their customers’ personal information, the reasons AF chooses to share, and whether you can limit this sharing.

Reasons we can share your personal information	Does AF share?	Can you limit this sharing?
For our everyday business purposes To administer, manage and service customer accounts, process transactions and provide related services for your accounts, it is necessary for us to provide access to personal information with companies affiliated with AF and to certain nonaffiliated companies. We may share your personal information: <ul style="list-style-type: none"> • To process your transactions, maintain your account, respond to court orders and legal investigations, or report to credit bureaus or government entities • With Affiliate companies of AF (e.g. TD Ameritrade Institutional, Union Bank & Trust, etc.) 	Yes	No

<ul style="list-style-type: none"> • With nonaffiliated entities that perform services for us or function on our behalf (such as billing services, clearing services, investment companies, and insurance companies) • With third-party administrators and vendors for the purposes of providing current and future information on your account (such as transaction history, tax information and performance reporting). 		
For our marketing purposes To offer our products and services to you	Yes	No
For our Affiliates to market to you Affiliate companies that you do not have an existing relationship with	No	Yes, but AF does not share information for marketing purposes
For non-affiliates to market to you	No	Yes, but AF does not share information for marketing purposes
Who we are		
Who is providing this notice?	Aja Financial LLC	
What we do		
How do AF and its Affiliates protect my personal information?	To protect your personal information from unauthorized access and use, we use security measures that comply with applicable state and federal laws. These measures include computer safeguards, limiting printed client information, secured files, and secured buildings. Our financial advisor(s) are trained in the proper handling of personal information.	
How do AF and its Affiliates collect my personal information?	We collect your personal information, for example, when you: <ul style="list-style-type: none"> • Open an advisory account • Apply for insurance • Seek advice about your investments • Share information about your investment or retirement portfolio Occasionally we might 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 non-affiliates to market to you 	

	State laws and individual companies may give you additional rights to limit sharing.
Other important information	
Use and disclosure of health information To the extent you provide health information to your financial advisor for the purpose of applying for insurance products, such information will not be disclosed to nonaffiliated companies for any purpose, except: <ul style="list-style-type: none">• to underwrite or administer your insurance policy or related claims;• as required by law;• as authorized by you.	

The most current version of the Aja Financial LLC Customer Privacy Policy is available at www.ajafinancial.com