

FACTS		What does Windes, 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 products or services you have with us. This information can include: <ul style="list-style-type: none"> • Social Security number and income • Transaction history and transaction or loss history • Employment information and purchase history 										
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 we choose to share; and whether you can limit this sharing.										
Reasons we can share your personal information		Do we share?	Can you limit this sharing?								
For our everyday business purposes— to process your transactions, maintain your account(s), respond to court orders and legal investigations		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	Yes								
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	<ul style="list-style-type: none"> • Call (562) 435-1191; or • Visit us online at https://windes.com/contact-us/ or • Mail in the form below <p>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.</p>										
Questions?	Call (562) 435-1191										
Mail-in Form											
 If you have a joint account, your choice(s) will apply to everyone on your account unless you mark below. <input type="checkbox"/> Apply my choices only to me.	Mark any / all you want to limit: <input type="checkbox"/> Do not share information about me to market to me or to offer your products and services. <input type="checkbox"/> Do not allow your affiliates to use my information for their everyday business practices <input type="checkbox"/> Do not allow your affiliates to use my information to market to me.										
	<table border="1"> <tr> <td>Name</td> <td></td> <td rowspan="4">Mail to: Windes, Inc. 3780 Kilroy Airport Way, Suite 600 Long Beach, CA 90806</td> </tr> <tr> <td>Address</td> <td></td> </tr> <tr> <td>City, State, Zip</td> <td></td> </tr> <tr> <td></td> <td></td> </tr> </table>	Name		Mail to: Windes, Inc. 3780 Kilroy Airport Way, Suite 600 Long Beach, CA 90806	Address		City, State, Zip				
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Who We Are	
Who is providing this notice?	Windes, Inc.
What We Do	
How does Windes protect my personal information?	To protect your personal information from unauthorized access and use, we use security measures that comply with federal and state law. These measures include computer safeguards and secured files and buildings.
How does Windes collect my personal information?	We collect your personal information, for example, when you: <ul style="list-style-type: none"> • Seek financial or tax advice • Give us your income history and wage statements • Tell us about your investment portfolio or earnings We also collect your personal information from 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.
Definitions	
Affiliates	Companies related by common ownership or control. They can be financial and non-financial companies. Our affiliates are Windes Wealth Management, LLC and Windes Technology & Risk, LLC.
Nonaffiliates	Companies not related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> • <i>Windes does not share with nonaffiliates so they can market to you.</i>
Joint Marketing	A formal agreement between non-affiliated financial companies that together market financial products or services to you. <ul style="list-style-type: none"> • <i>Windes does not jointly market.</i>
Other Important Information	
California Residents. California residents have additional rights over personal information that we collect for purposes other than providing financial products and services to you. For an explanation of the rights available to California residents, please see our " California Privacy Policy ."	
Nevada Residents. We are providing you this additional notice under state law. You may be placed on our internal Do Not Call List by calling us at (562) 435-1191. Nevada law requires we provide the following contact information: You may contact our customer service department if you would like additional information: Windes, Inc., 2050 Main Street, Suite 1300, Irvine, CA 92614 or e-mail at info@windes.com . You also may contact the Bureau of Consumer Protection, Office of the Nevada Attorney General, 555 E. Washington St., Suite 3900, Las Vegas, NV 89101; Phone number: (702) 486-3132; e-mail: AGInfo@ag.nv.gov .	