



Privacy Policy

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Wealth Navigation caters to a unique clientele who not only appreciate their privacy but demand it. For our clients, past, present and future, we make the following privacy statements:

The Wealth Navigation privacy policy applies to consumers who are current or former brokerage clients or who register for one of our services or promotional offers.

Throughout the policy, we refer to information that personally identifies you or your accounts as “personal information.”

1. We do not sell your personal information to anyone.
2. We do not disclose personal information to third parties, unless one of the following limited exceptions applies.
 - We disclose personal information to companies that help us process or service your transactions or account(s), including companies that print and mail your account statements.
 - We have contracts with these companies that prohibit them from using your personal information for their own purposes.
 - We may disclose or report personal information in limited circumstances where we believe in good faith that a disclosure is required or permitted under law, for example, to cooperate with regulators or law enforcement authorities, resolve consumer disputes, perform credit/authentication checks, or for institutional risk control.
 - Outside of these exceptions, we will not share your personal information with third parties unless you have specifically asked us to do so, that is, opted-in.
3. We collect personal information in the normal course of business to administer your accounts and serve you better.
 - We collect information that you provide to us when you open an account or register for one of our services, or when you accept a promotional offer for a Wealth Navigation-sponsored product or service. The information we collect include but are not limited to your name, address, phone number, email address, social security number, and information about your interests, investments, and investment experience.
 - In compliance with the Anti-Money Laundering Act we collect identifying information on new accounts to verify client identity.
 - We do not collect information on our Web site through the use of “cookies.”
 - Once you have an account with us, to administer your account and better serve you, we collect and maintain personal information about your transactions, including balances, positions, and history, and include but are not limited to your name or other data in an internal client list that reflects your activities at Wealth Navigation.

4. We use your personal information to fulfill our regulatory and audit obligations and to help us deliver the best possible service to you.

5. We protect the confidentiality and security of your personal information.

- Companies we hire to provide support services are not allowed to use your personal information for their own purposes and are contractually obligated to maintain strict confidentiality. We limit their use of your personal information to the performance of the specific service we have requested.
- We restrict access to personal information to our employees and agents for business purposes only. All employees are trained and required to safeguard such information.
- We maintain physical, electronic, and procedural safeguards to guard your personal information.

6. We continue to evaluate our efforts to protect personal information and make every effort to keep your personal information accurate and up to date. If you identify any inaccuracy in your personal information, or you need to make a change to that information, please contact us so that we may promptly update our records.

7. We will provide notice of changes in our information-sharing practices.

If, at any time in the future, it is necessary to disclose any of your personal information in a way that is inconsistent with this policy, we will give you advance notice of the proposed change so that you will have the opportunity to opt-out of such disclosure. If you have any questions or concerns, please contact us at (801) 335-8200.

