

FACTS

WHAT DOES Summit Wealth Advocates, LLC (“SWA”) 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 financial information
- Account balances and transaction history

If you are a *new* customer, we can begin sharing your information from the date we sent this notice. When you are *no longer* 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.

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 personal information; the reasons Summit Wealth Advocates, LLC chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does Summit Wealth Advocates, LLC 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	N/A
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	N/A
For our affiliates to market to you	NO	N/A
For non-affiliates to market to you	NO	N/A
Questions?	Call 612-987-9112	

Who we are

Who is providing this notice?	Summit Wealth Advocates, LLC (“SWA”), a registered investment adviser, and its affiliates listed below.
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What we do

How does SWA 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 buildings.
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How does SWA collect my personal information?	We collect your personal information when you engage our services and we gather information to provide your services. We may also collect your personal information from others, such as affiliates or other companies.
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Why can't I limit all sharing?	<p>Federal law gives you the right to limit only</p> <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 <p>State laws and individual companies may give you additional rights to limit sharing.</p>
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Definitions

Affiliates	<p>Companies related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none">• SWA’s affiliates include all Avantax, Inc. affiliates, including but not limited to Avantax Investment Services, Inc., Avantax Advisory Services, Inc., Avantax Planning Partners, Inc., Avantax Insurance Agency, LLC and Avantax Insurance Services, Inc.
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Non-affiliates	<p>Companies not related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none">• SWA’s non-affiliates include custodians, third-party investment managers, and other service providers for business purposes.
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Joint marketing	<p>A formal agreement between nonaffiliated financial companies that together market financial products or services to you.</p> <ul style="list-style-type: none">• SWA does not jointly market with non-affiliates.
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Other important information

If you would like to limit the personal information that SWA may share, please call 612-987-9112. SWA will automatically limit sharing of your information in accordance with applicable state law.