

PRIVACY POLICY

At Vantage Wealth Management LLC (“Vantage” or “we”) we recognize and respect the privacy expectations of our customers¹ and are committed to safeguarding our customers’ nonpublic personal information. Vantage is an investment advisor registered with the U.S. Securities and Exchange Commission (SEC) under the Investment Advisers Act of 1940 and, as such, is required by the SEC to provide our clients with a privacy notice of this nature.

Vantage is providing this notice to you so that you will know what types of information we collect about individuals, such as yourself, who apply for or obtain our products or services, how we handle and protect such information, and the circumstances in which that information will be disclosed to third parties who are not affiliated with us. The provisions of this notice apply to former customers as well as current customers.

INFORMATION WE COLLECT

We collect nonpublic personal information about you for business purposes in connection with our investment management operations. Such information is collected either in written or oral form from the following sources:

- Account Opening Documents, Subscription Documents, and Other Forms, which may include information such as your name, address, Social Security number, income information, net worth, investment experience, educational background and banking information;
- Account History, such as information regarding the assets in your account and your account’s transactions, including the parties to a transaction, the positions held or sold, and pricing; and
- Correspondence, written, telephonic or electronic between you, us and/or any service providers for your account.

“Nonpublic personal information” is nonpublic information about you that we obtain in connection with providing you with a financial product or service for your personal, family, or household purposes.

INFORMATION DISCLOSURE TO THIRD PARTIES

We do not disclose any nonpublic personal information about you to non-affiliated third parties, unless it is permitted or required by law, at the direction of you the customer, or is necessary to provide services to the customer. We do not sell any personal information about you to any third-party.

In the normal course of business, all of the nonpublic personal information we obtain about you, as described above, may be shared with other persons who provide services in connection with your account (including brokers, administrators, custodians, accountants or attorneys, as well as any other service providers for your account).

We may also disclose personal information with non-affiliated entities and regulatory authorities as permitted by applicable law. For example, we may disclose such information to cooperate with regulatory authorities and law enforcement agencies and as necessary to protect our rights and property.

PROTECTING CONFIDENTIALITY AND SECURITY

We maintain physical, electronic, and procedural safeguards to protect the nonpublic personal information we have about you. We treat this information in a confidential manner. We restrict access to nonpublic information about you to employees who have an appropriate reason to access it, such as to administer your account or offer our products and services. We are just as committed to protecting the privacy of our former clients as we are our current clients. If you choose to end your relationship with us, you will continue to be protected by the privacy policies and principles described in this policy.

We educate our employees on the importance of protecting the privacy and security of confidential personal information. In addition, we require third parties with whom we share information to:

- maintain policies and procedures designed to assure only appropriate access to, and use of information about, our customers; and
- maintain physical, electronic and procedural safeguards that comply with federal standards to guard nonpublic information of our customers.

If you have any questions regarding this policy please feel free to contact Sarah Kardavani, Chief Compliance Officer, Vantage Wealth Management, LLC.