

This Privacy Policy is provided to you on behalf of Avantax Wealth Management, Inc. d/b/a Avantax Wealth Management®, a Blucora company, and its financial services affiliates, i.e., Avantax Investment Services, Inc., Avantax Advisory Services, Inc., Avantax Insurance Services, Inc. and Avantax Insurance Agency, LLC. (which may be collectively referred to herein as “Avantax Wealth Management Affiliates,” or “Avantax” or “we” or “us” or “our”). This policy applies to consumers who have, or have had, a customer relationship with Avantax. For purposes of this policy, “Personal Information” is data specifically about you, which you typically provide to Avantax on a voluntary basis when you purchase products or services through us or our sales representatives (“Financial Professionals”). Personal Information does not include publicly available information or anonymous, aggregate or combined information, which includes data related to you but does not identify you specifically.

### **Information Collection**

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Avantax collects and maintains certain information about you, including Personal Information, in connection with opening and servicing your account, offering you products and services, and complying with applicable supervisory and record-keeping regulatory requirements. In the course of serving you, we collect certain Personal Information about you from a variety of sources, such as:

- **Information you voluntarily provide to us through electronic communications (including email), on applications or forms, and through our websites, including, but not limited to,** your name, address, Social Security number, birth date, assets, income, email address, bank account number and/or health information (if you apply for insurance products through Avantax). We may also collect information from your tax return if you voluntarily agree with your tax preparer to share that information with us;
- **Information we receive from an outside company,** such as a credit bureau regarding your credit history if you apply for credit products, or due diligence companies to confirm your identity, background and/or eligibility to open an account;
- **Information about your transactions or communications** with Avantax, including electronic communications you have with Avantax or our Financial Professionals through all email accounts, including, but not limited to, a Financial Professional’s Avantax email address; or
- **From other sources with your consent** (for example, from other institutions if you transfer positions into an account at Avantax).

We may collect and use the following information that identifies, relates to, describes, is reasonably capable of being associated with, or could reasonably be linked, directly or indirectly, with a particular consumer or household:

- **Identifiers** (e.g., a real name, alias, postal address, unique personal identifier, online identifier, Internet Protocol address, email address, or other similar identifiers);
- **Information that identifies, relates to, describes, or is capable of being associated with, a particular individual,** including, but not limited to, his or her name, address, telephone number, bank account number, social security number, or any other financial information;
- **Professional or employment-related information,** including job title, company, and salary information or
- **Commercial information** (e.g., records of personal property, products or services purchased, obtained, or considered, or other purchasing or consuming histories or tendencies).

### **Information Use and Disclosure**

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#### ***How we share information about you among all Avantax Affiliates***

The Personal Information we collect is used to maintain and service your accounts. Personal Information may be used or shared within Avantax for a number of purposes, such as:

- **For our everyday business purposes among all Avantax Affiliates (including but not limited to Blucora, Inc., Tax-Smart Research, LLC, Avantax Planning Partners<sup>SM</sup>, and TaxAct, Inc.),** such as to process your transactions, maintain and service your account, provide you with customer service, and protect your account. This includes sharing information if your accounts are reassigned to another Avantax Professional; or
- **For marketing purposes for Avantax Wealth Management Affiliates** to offer products and services to you.

### ***How we share information about you with Nonaffiliates***

We share Personal Information with nonaffiliates in connection with servicing your account or otherwise as permitted or required by law. Avantax does not sell your Personal Information to nonaffiliates for those companies to market their own products or services to you. We may share Personal Information with the following types of nonaffiliates:

- **Companies that perform services for us or assist us in servicing your account.** For example, National Financial Services LLC ("NFS") (Avantax's clearing firm), data processors, technical systems consultants and computer programmers, check printers, data aggregators, marketers, mail fulfillment vendors and insurance policy underwriting, administration, and claims handling;
- **Others as permitted or required by law.** For example, responding to court orders, subpoenas, regulatory inquiries and legal investigations, reporting to credit bureaus, and those with whom you have requested or authorized us to share information; or
- **In connection with an acquisition, merger, restructuring, sale or other transfer** of all or any portion of Avantax we may share Personal Information with the purchaser or potential purchaser.

In the preceding 12 months, we may have disclosed for a business purpose to one or more third parties the following categories of personal information that identifies, relates to, describes, is capable of being associated with, or could reasonably be linked, directly or indirectly, with a consumer or household:

- Identifiers (e.g., a real name, alias, postal address, unique personal identifier, online identifier, Internet Protocol address, email address, account name, or other similar identifiers);
- Information that identifies, relates to, describes, or is capable of being associated with, a particular individual, including, but not limited to, his or her name, signature, address, telephone number, education, employment, and employment history;
- Professional or employment-related information, including job title, company, and salary information; or
- Commercial information (e.g., records of personal property, products or services purchased, obtained, or considered, or other purchasing or consuming histories or tendencies).

### **Information You Share With Others**

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Account owners may choose to allow Avantax or their Financial Professional to share their Personal Information or account-related information with individuals who are not account owners. For accounts held jointly by two or more persons, the privacy choices made by any account holder apply to everyone on your account. This applies, but is not limited to, Personal Information and account-related information provided to an account owner in paper or electronic formats.

### **Information Your Financial Professional Obtains**

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Your Financial Professional will obtain Personal Information about you during the course of servicing your accounts while the Financial Professional is affiliated with Avantax and may retain that information after leaving Avantax. That information remains subject to restrictions that limit the use or disclosure of the information (except as permitted or required by law). If your Financial Professional joins a nonaffiliated securities broker-dealer, investment adviser or insurance company, we or your Financial Professional may share your Personal Information with the new firm to enable your Financial Professional to notify you of their new firm and as a means to continue servicing and maintaining your accounts.

You can limit the Personal Information a Financial Professional retains or shares with a new firm, or we share with a new firm, by following the instructions provided below (Avantax can only limit this sharing if we receive your instructions in a timely manner before the Financial Professional has terminated their affiliation with Avantax).

Avantax Financial Professionals are independent contractors affiliated with Avantax solely for the purpose of conducting securities-related activities offered through Avantax. If your Avantax Financial Professional offers you other products or services not affiliated with Avantax (e.g., legal, tax, accounting, audit, payroll), then any Personal Information you provide unrelated to Avantax products and services is not covered by this privacy policy and your rights (including the right to limit what the Financial Professional retains after leaving Avantax) would instead be governed by the laws and rules covering that particular product or service and the Financial Professional's independent business privacy policy.

## Information Protection

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To protect your personal information from unauthorized access and use, we use security measures designed to comply with federal law. These measures include certain commercially available computer safeguards and secured files and buildings. Additionally, Avantax requires its employees and Financial Professionals to comply with its privacy standards and policies, which are designed to protect customer information. However, while we strive to protect your Personal Information and privacy, WE DO NOT GUARANTEE OR WARRANT AGAINST THE THEFT, LOSS, DESTRUCTION, OR DISCLOSURE OF PERSONAL INFORMATION ARISING FROM OR RELATED TO THEFT, UNAUTHORIZED ACCESS BY THIRD PARTIES, OR DATA CORRUPTION, LOSS OR MODIFICATION RESULTING FROM THE INTRODUCTION OF MALICIOUS CODE.

Avantax has also established a separate Online Privacy Policy governing the collection of information obtained through the Avantax websites. For further information, please visit [www.avantax.com](http://www.avantax.com).

## California Residents

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As a California resident, you have the right to request any of the following information from us regarding personal information collected about you:

- The categories of personal information collected about you.
- The categories of sources from which the personal information is collected.
- The business or commercial purpose for collecting or selling personal information.
- The categories of third parties with whom we share personal information, if any.
- The specific personal information collected about you.
- For personal information sold or disclosed to a third party for a business purpose, you have a right to know the categories of personal information about you that we sold and the categories of third parties to whom the personal information was sold; and the categories of personal information that we disclosed about you for a business purpose.

We will provide this information free of charge up to two (2) times in any twelve (12) month period within 45 days of receiving your verifiable request (including verification of your identity and your California residency), subject to delays and exclusions permitted by law. Specific personal information about you or your account that is categorized as sensitive or confidential may be redacted.

As a California resident, you have the right to request that we correct or delete any personal information that we have collected about you. We will honor this request subject to the range of exclusions permitted by law, including the Gramm-Leach-Bliley Act. For example, we are not required to delete personal information if it is necessary to complete a transaction or reasonably used for an ongoing business relationship or if it is used internally in a lawful manner that is compatible with the context in which the consumer provided the information.

As a California resident, you also have the right to opt out of the sharing or selling of your personal information to third parties.

We will not discriminate against you if you choose to exercise any of these rights. California residents may exercise the rights described above by contacting us as follows:

Mail:      Avantax Operations Department  
                 P.O. Box 142829  
                 Irving, TX 75014-2829

Email:      [AvantaxPrivacyPolicy@avantax.com](mailto:AvantaxPrivacyPolicy@avantax.com) (please use "California Privacy" in the subject line)

Phone:      Call Avantax at 972-870-6000

Via the webform available on our website after Jan. 1, 2023 at: [www.avantax.com/privacy-policy](http://www.avantax.com/privacy-policy)

We may require verification of your identity before further processing your request. In certain instances, we may be permitted by law to decline some or all of such request.

### **To Limit Our Sharing**

To limit the Personal Information about you that your Financial Professional may retain or share after they leave Avantax, please mail us the form included on this notice.

### **Contact Us**

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For general questions regarding this Privacy Policy, please contact Avantax at:

**By Email:**

[AvantaxPrivacyPolicy@avantax.com](mailto:AvantaxPrivacyPolicy@avantax.com)

**By Postal Mail:**

3200 Olympus Blvd., Suite  
100 Attn: Risk  
Management  
Dallas, TX 75019

**By Phone:**

Call Avantax at (866) 218-8206, option 2, and ask for Risk Management.



By completing and submitting this Opt-Out Form, I am instructing Avantax Wealth Management® ("Avantax") to not allow my Avantax Financial Professional to retain my Personal Information if they terminate their relationship with Avantax or share my Personal Information with any new firm they may join.

Mail-In Opt-Out Form To:

Avantax Operations Department  
PO Box 142829  
Irving, TX 75014-2829

**Your election to opt-out will not be recognized if you do not complete all of the information below.**

**Please print legibly.**

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City State Zip Code: \_\_\_\_\_

Last Four Digits of Your Account Number(s): \_\_\_\_\_

Avantax Financial Professional Name: \_\_\_\_\_

**Investments & Insurance Products:**

<b>Not Insured by the FDIC or Any Federal Government Agency</b>	<b>Not Deposits of or Guaranteed by the Bank or Any Bank Affiliate</b>
<b>May Lose Value</b>	

Securities offered through Avantax Investment Services<sup>SM</sup>, Member FINRA, SIPC. Investment advisory services offered through Avantax Advisory Services<sup>SM</sup>, 3200 Olympus Blvd, Dallas, TX 75019. Avantax Investment Services<sup>SM</sup> is registered with the Securities and Exchange Commission (SEC) and the Municipal Securities Rulemaking Board (MSRB). Information is available on the MSRB website [www.msrb.org](http://www.msrb.org) that describes protections available under MSRB rules and how to file a complaint.