

Assured Equity Management Corporation (AEMC)
Privacy and Confidentiality

AEMC strongly believes in protecting the confidentiality and security of the information it collects to provide the services as agreed to with its clients. AEMC will follow the policies and procedures to safeguard current and former Client's information as outlined in this section. The following information outlines our process, protection steps and commitment to you.

Information that we collect

- 1.1 AEMC collects information about our Client's financial situation, benefits and goals to enable it to provide the services as agreed to with the Client. The information may be obtained directly from you or from other sources that you authorize such as your accountant, tax advisor, attorney or prior service provider. We consider all information about you in our possession to be personal information, even if you cease to be a client. Private information may include, among other things:
 - 1.1.1 Financial information may include financial holdings, securities, insurance, business ownership, values, tax records and income.
 - 1.1.2 Identifying information can include items such as name, age, address, phone number, employment, salary and wage information.
- 1.2 AEMC only uses personal information such as dates of birth and social security numbers to provide the services as agreed to between the Client and AEMC.

Protection

- 1.3 AEMC has implemented physical, electronic and procedural safeguards to maintain the confidentiality and integrity of the personal information in its possession and to guard against unauthorized access. These include, among other things, procedures for controlling access to customer files, building security programs and information technology security measures such as the use of passwords and encryption, plus firewalls and virus use detection software.
- 1.4 AEMC continues to assess new technology as it becomes available and to upgrade our physical and electronic security systems as appropriate.

Sharing

- 1.5 AEMC will not share or distribute personal information about our Clients unless otherwise agreed to or prior approval is provided. In no circumstances will AEMC sell any Client information. However, AEMC may disclose Client or participant information when necessary or required, in legal proceedings, arbitration proceedings and to government agencies.
- 1.6 AEMC may need to share Client information with other service providers to obtain investment or insurance services or products as discussed with you beforehand.

Commitment

- 1.7 AEMC's policy is to require that all employees and companies providing services on our behalf keep customer information confidential.
- 1.8 AEMC will not share information about you with affiliated companies for marketing purposes.
- 1.9 AEMC has adopted policies and procedures designed to protect your personal information from unauthorized use or disclosure.
- 1.10 Our policy is to permit employees to access your personal information only if they have a business purpose for using such information to provide the agreed upon services of this agreement.

AEMC may make changes to the privacy policy in the future. Changes will be updated in this privacy statement and if you are a Client you will be provided with a revised privacy policy describing the change.