



Our Promise to You

As a client of Annex Wealth Management, LLC[®], you share both personal and financial information with us. We understand that you expect us to protect this information and use it responsibly. Your privacy is important to us, and we are dedicated to safeguarding your personal and financial information. That is why we have adopted the following policies as “*Our Promise to You*” to protect the privacy of your nonpublic personal information.

Information Provided by Clients

In the normal course of doing business, we typically obtain the following nonpublic personal information about our clients:

- § Personal information regarding our clients’ identity such as name, address, email address, telephone number, social security number, date of birth, driver’s license information, passport information, and other information that permits us to contact or communicate with you;
- § Salary, employment, occupation, and tax information;
- § Information regarding insurance, securities, and other financial transactions and accounts; and
- § Financial information such as net worth, assets, income, financial statements, tax records, holdings reports, insurance records, investment records, investment experience, liquidity needs, bank account information, account balances, and other similar information you may elect to supply to us.

How We Collect Information About You

We collect nonpublic personal information from a variety of sources, including:

- § Information we receive from you on New Account Forms, Investor Profiles, Statements of Investment Selection, applications, questionnaires, contracts, and other forms;
- § Information we receive from you when you communicate with us through personal contact, in writing, electronically, by telephone, through our website, or whenever you communicate with us or request information from us;
- § Your business dealings and transactions with us, our affiliates, investment managers with which we have sub-advisor contracts, current and former account custodians, billing and reporting service providers, client relationship management providers, our unaffiliated broker/dealer, product sponsors whose products you own, and other arrangements we have entered into to provide services to you;

Information That We Disclose

Where allowed by law, we disclose nonpublic personal information about you to our staff, affiliated and unaffiliated third parties that provide services to us, or with whom we have contractual relationships, so that we may more effectively provide services to you. These will include:

- § Sub-Advisors and third-party money managers that provide investment management services to your accounts;
- § Broker/Dealers we direct transactions to for execution in your accounts;
- § Broker/Dealers with whom Annex is affiliated and those with whom Annex may seek registration;
- § Investment companies, insurance companies, and other investment product providers to effect transactions and provide services to your accounts;
- § Clearing Firms through whom we clear and settle securities transactions;
- § Qualified Custodians who provide services to your accounts;
- § Companies that provide portfolio accounting, modeling, rebalancing, billing and performance reporting services;
- § Credit Unions, Banks, and other Financial Institutions with which we have joint-marketing agreements for the marketing and offer of our contracted services;

- § Companies that assist us in maintaining books and records, meeting regulatory requirements, independent audit functions, and facilitating mailings or publications on our behalf;
- § Federal, State or other agencies with regulatory authority over us, where required by law or regulation;
- § Other third-parties that provide services to Annex so that we may, in turn, provide effective services to you including those companies, associations, agencies, institutions and third parties with which we or our representatives are licensees or registrants, and service providers such as those who provide client relationship management systems, paperless account opening, application integration, IT support, cybersecurity and redundancy support, secured voice and data platforms, and email retention;
- § Companies with whom we have entered into a confidential memorandum to explore potential registration opportunities, mergers, and/or acquisitions; and
- § In certain circumstances, your advisor, if he or she chooses to leave Annex for another firm, subject to the requirements or limitations of applicable law. However, you may opt out of this information sharing if you do not want your advisor to take your personal information to his or her new firm by contacting Annex at 262-786-6363.

Except as provided above, we will not share your nonpublic personal information with any third party, affiliated or unaffiliated, for marketing or other purposes. Annex does not sell your personal information to anyone.

Where we share your nonpublic information with third parties for the purposes noted above, we ensure that there are contractual agreements in place prohibiting the third party from using or disclosing the information for any purpose other than for which it has been contracted or from further sharing that information with any other parties.

How We Manage and Protect Your Personal Information

We do not sell information about current or former clients to third parties, nor is it our practice to disclose such information to third parties unless requested to do so by a client or client representative or, if necessary, in order to process a transaction, service an account, or as permitted by law. Additionally, we may share information with outside companies that perform administrative services for us. However, our contractual arrangements with these service providers require them to treat your information as confidential. In order to protect your personal information, we maintain physical, electronic and procedural safeguards reasonably designed to prevent unauthorized use or access and protect your personal information. Internally, your information is available to employees and management of the firm in order that we may provide services to you, and to those employees fulfilling compliance, legal, internal review, risk management, control, and audit functions. Our computer systems utilize high-level encryption and password protection to prevent access by unauthorized persons, and we employ other physical, electronic and procedural safeguards to protect your personal information in accordance with state and federal privacy regulations. Our Privacy Policy restricts the use of client information and requires that it be held in strict confidence.

Client Notifications

We are required by law to annually provide a notice describing our Privacy Policy. In addition, when we make material changes to our Privacy Policy we will inform you promptly by posting an updated version to our website at www.AnnexWealth.com and may send you an amended copy in the mail. Please do not hesitate to contact us with questions about our Privacy Policy.

BUSINESS CONTINUITY SUMMARY

Annex Wealth Management[®], LLC (“Annex”) has developed a Business Continuity Plan detailing how we will respond to events that could significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, Annex needs to be flexible in the way it responds to events when they do occur. To sharpen our response to likely and shorter term disruptions, Annex frequently tests its business continuity plan by enacting mock disruptions and events. We believe it’s important for clients to have a general understanding of our business continuity plan and how a disaster might impact their accounts, access to funds, and the ability to communicate effectively with Annex. What

follows is a general summary of our business continuity plan. A detailed plan is maintained by Annex at multiple geographic locations accessible by various members of Annex's management team. The detailed plan is confidential and is not distributed to anyone in the public so as not to provide any potential wrongdoers with a blueprint to Annex's business operations.

Annex has gone to great lengths to create systems and platforms that are Internet-based, thereby allowing Annex, its staff, and advisors to be able to effectively operate from any conceivable location where an Internet or Wi-Fi connection could be made. Further, Annex has created a multi-tiered redundancy of its non-Internet based data and systems platforms so that it could quickly be accessed or recreated in an alternate location in the event that there is a disaster at Annex's primary offices. Annex could rather easily overcome a short-term interruption to its business operations at any of its Branch Offices. Through our ongoing testing, we are reasonably confident that we would be able to operate at near normal capacity and communicate with our clients and account custodians in the most likely of business interruption scenarios. If for some reason you are unable to reach your advisor, you should contact Annex directly at 262-786-6363.

Annex's business continuity plan is designed to quickly recover and resume business operations after a disruption by safeguarding our employees, property, making assessments, protecting the firm's books and records, maintaining avenues of communication, and allowing our clients to transact business and maintain access to their funds and securities. The length of time necessary to recover and resume business operations will depend on the scope and severity of the event that caused the interruption. These events are largely out of the control of Annex, and our ability to recover and respond, may likewise be out of the control of Annex.

Annex's business continuity plan addresses back-up and recovery of data; redundancy; access to mission critical systems and platforms; the financial and operational stability of Annex; alternative communication systems; ensuring that we can contact and be contacted by our clients; employee safekeeping; fulfilling regulatory requirements; maintaining alternate locations; ensuring the viability of custodial platforms and our client's access to accounts, transactions, securities, and funds; and supplier, contractor bank, and counterparty impact.

For more information on our business continuity plan, you can contact us at 262-786-6363 or by emailing us at info@annexwealth.com. Annex Wealth Management is an Investment Advisor registered with the United States Securities and Exchange Commission.