Avantax
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FACTS	WHAT DOES AVANTAX WEALTH MANAGEMENT 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 birth date ▪ income, assets, net worth, and investment experience ▪ account balances and transaction history
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 customers' personal information; the reasons Avantax Investment Services chooses to share; and whether you can limit this sharing.

Reasons We May Share Your Personal Information	Does Avantax Investment Services share?	Can you limit this sharing?
For our everyday business purposes – to process transactions and maintain your account(s), respond to court orders or legal investigations, or report to credit bureaus	Yes	No
For our marketing purposes – to offer our products and services to you	Yes	No
For joint marketing with other financial companies	No	No
For our affiliates' everyday business purposes – information about your transactions and experiences	Yes	No
For our affiliates' everyday business purposes – information about your creditworthiness	Yes	Yes
For our affiliates to market to you	Yes	Yes
For nonaffiliates to market to you If your financial professional is not with Avantax Planning Partners or otherwise under a restrictive covenant and leaves Avantax to join another firm, we or your financial professional may disclose your personal information to the new firm or to a third-party vendor to facilitate the transition.	Yes	Yes

To limit our sharing	Please note: If you are a *new* customer, we can begin sharing your information 30 days 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 complete the Opt-Out form below at any time to limit sharing.

Questions?	Visit *www.avantax.com* or call: Avantax Wealth Management: 888-438-3781 Avantax Planning Partners: 563-582-2855

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Who We Are	
Who is providing this notice?	Avantax Investment Services, Inc.; Avantax Wealth Management, Inc. d/b/a Avantax Wealth Management; Avantax Advisory Services, Inc.; Avantax Planning Partners; Avantax Insurance Services, Inc.; and Avantax Insurance Agency, LLC

What We Do	
How does Avantax Investment Services 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. ▪ In addition to physical and electronic safeguards, we have implemented security standards and procedures to protect your information, including employee training, limited employee access and the use of confidentiality agreements.
How does Avantax Investment Services collect my personal information?	We collect your personal information, for example, when you: ▪ open an account or deposit money ▪ direct us to buy or sell securities ▪ seek advice about your investments or enter into an investment advisory contract We also collect your personal information from other companies.
Why can't I limit all sharing?	Federal law gives you the right to limit only: ▪ sharing for affiliates' everyday business purposes – information about your creditworthiness ▪ affiliates from using your information to market to you ▪ sharing for nonaffiliates to market to you **State laws and individual companies may give you additional rights to limit sharing. See below for more on your rights under state law.**
What happens when I limit sharing for an account I hold jointly with someone else?	Your choices will apply to everyone on your account.

Definitions	
Affiliates	Companies related by common ownership or control. They can be financial and nonfinancial companies. ▪ *Our affiliates include companies with a Cetera name and The Retirement Planning Group.*
Nonaffiliates	Companies not related by common ownership or control. They can be financial and nonfinancial companies.
Joint Marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you.

Other Important Information

- Accounts with a California, Vermont, Massachusetts, or North Dakota mailing address are automatically treated as if they have limited the sharing as described on page 1.
- Nevada residents: Pursuant to Nevada law, you may request to be placed on our internal "Do Not Call" list at any time by calling 866-218-8206, option 7, option 2. You may obtain further information by contacting the Nevada Attorney General, 555 E. Washington Ave., Suite 3900, Las Vegas, NV 89101; phone 702-486-3132; email bcpserv@ag.nv.gov.

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Mail-In Opt-Out Form

By completing and submitting this Opt-Out Form, you are instructing Avantax Wealth Management® and/or Avantax Planning Partners (collectively, "Avantax") to limit sharing as disclosed in Avantax's Consumer Privacy Notice.

Mail Opt-Out Form To:

Avantax Operations Department
3200 Olympus Blvd., Suite 100 OPT
Dallas, TX 75019

To ensure your election to opt-out will be recognized, please 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: ____