

PRIVACY POLICY

Facts														
What Does SlateStone Wealth, LLC 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?	<p>The types of personal information we collect can include:</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">Name</td> <td style="width: 50%;">Income/Assets</td> </tr> <tr> <td>Address</td> <td>Account Numbers</td> </tr> <tr> <td>Phone Numbers</td> <td>Account transactions</td> </tr> <tr> <td>Email</td> <td>Investment experience</td> </tr> <tr> <td>Date of Birth</td> <td></td> </tr> <tr> <td>Social Security number</td> <td></td> </tr> </table> <p>When you are no longer our client, we will continue to hold your information and share it as described in this notice.</p>		Name	Income/Assets	Address	Account Numbers	Phone Numbers	Account transactions	Email	Investment experience	Date of Birth		Social Security number	
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How?	All financial companies need to share clients’ personal information to run their everyday business. In the section below, we list the reasons why financial companies can share their clients’ personal information, the reasons SlateStone chooses to share personal information and whether you can limit this sharing.													
Reasons We Can Share Your Personal Information		Does SlateStone Share?	Can You Limit This Sharing?											
For our everyday business purposes, such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, auditors, examiners, compliance reviews or report to credit bureaus.		Yes	No											
For our marketing purposes to offer our products and services to you		No	We don’t share											
For joint marketing with other financial companies		No	We don’t share											
For non-affiliates to market to you		No	We don’t share											
What We Do														
How does SlateStone protect my personal information?	<p>To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include implementing cybersecurity protocols and safeguards, using secured files, secure buildings, and limiting access to only those employees who need your personal information to properly service your account and who supervise employees’ activities.</p> <p>Our online environment uses security technologies, including layered security, and two-party authentication protocols where applicable for access / control over personal information.</p>													
How does SlateStone collect my personal information?	<p>We collect your personal information, for example, when you:</p> <ul style="list-style-type: none"> Open an account Enter into an investment advisory relationship Tell us about your investment or retirement portfolio Seek advice about your investments <p>We also collect your personal information from others such as your broker or custodian.</p>													

Why can't I limit all sharing?	<p>Federal law gives you the right to limit only:</p> <ul style="list-style-type: none"> • Sharing for affiliates' everyday business purposes, information about your creditworthiness • Affiliates from using your information to market to you • Sharing for non-affiliates to market to you <p>State laws and individual companies may give you additional rights to limit sharing. See below for more on your rights under state law.</p>
Definitions	
Affiliates	<p>Companies related by common ownership or control. They can be financial and non-financial companies.</p> <ul style="list-style-type: none"> • We have no affiliated firms.
Non-Affiliates	<p>Companies not related by common ownership or control. They can be financial and non-financial companies.</p> <ul style="list-style-type: none"> • Non-affiliates we share information with include the third-party vendors list below.
Joint marketing	<p>A formal agreement between non-affiliated financial companies that together market financial products or services to you:</p> <ul style="list-style-type: none"> • We do not share your information with anyone for the purposes of marketing to you.
Third Parties	
Third Parties we share data with who provide services	<p>Electronic Communication archiving systems Portfolio Management, Client Relationship Systems, research and compliance systems Backup Storage Financial Planning Software System Compliance/Legal/Audit Professionals SubAdvisor and Investment Managers Consultants/Promoters (if you are introduced by one)</p>

Additional Information Regarding our Privacy Policy

Information for California, North Dakota, and Vermont Customers

In response to applicable state law, if the mailing address provided for your account is in California, North Dakota, or Vermont, we will automatically treat your account as if you do not want us to disclose your personal information to non-affiliated third parties for purposes of them marketing to you, except as permitted by the applicable state law.

Questions?

Email us at info@SlateStone.com

JUPITER
 661 University Blvd.
 Jupiter, FL 33458
 P (561) 244-2504

WESTON
 2700 S. Commerce Pkwy.
 Weston, FL 33331
 P (954) 606-0777

WISCONSIN
 525 Junction Rd.
 Madison, WI 53717
 P (608) 616-4350

(800) 773-9282
www.SlateStone.com

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