NW Straits Financial Services, LLC

Privacy Policy

We recognize the importance of protecting our clients' privacy. We have policies to maintain the confidentiality and security of your nonpublic personal information. The following is designed to help you understand what information we collect from you and how we use that information to serve your account.

Information We Collect: In connection with providing financial planning, financial advice, or other services, we obtain non-public personal information about you, including: information we receive from you on account applications, such as your address, date of birth, Social Security Number, occupation, financial goals, assets and income and information about your investment transactions. We may only disclose information that we collect in accordance with this policy.

We do not sell customer lists and will not sell your name or email to anyone.

Categories of Parties to Whom We Disclose: We will not disclose information regarding you or your accounts except under the following circumstances:

- To entities that perform services for us or function on our behalf, including financial service providers, such as a clearing broker-dealer, investment company, or insurance company, other advisers;
- To third parties who perform services, client resource management or other parties to help manage your account on our behalf;
- To your attorney, trustee or anyone else who represents you in a fiduciary capacity;
- To our attorneys, accountants or auditors; and
- To government entities or other third parties in response to subpoenas or other legal process as required by law or regulatory inquiries.

How We Use Information: Information may be used among companies that perform support services for us, such as data processors, client relationship management technology, technical systems consultants and programmers, such as:

- To protect your accounts/non-public information from unauthorized access or identity theft;
- To process your requests such as securities purchases and sales;
- To establish or maintain an account with an unaffiliated third party, such as a clearing broker-dealer providing services to you;
- To service your accounts, such as by issuing checks and account statements;
- To comply with Federal, State, and Self-Regulatory Organization requirements;
- To keep you informed about financial services of interest to you.

Our Security Policy: We restrict access to nonpublic personal information about you to those individuals who need to know that information to provide products or services to you and perform their respective duties. We maintain physical, electronic, and procedural security measures to safeguard confidential client information.

Closed or Inactive Accounts: If you decide to close your account(s) or become an inactive customer, our Privacy Policy will continue to apply to you.

Complaint Notification: Submit to: Adam Van Ness, NW Straits Financial Services, LLC., 406 E Maryland St, Bellingham, WA 98225; 360.599.5206, admin@nwstraits.com

Changes to Policy: If we make any substantial changes in the way we use or disseminate confidential information, we will notify you. Any questions concerning this Privacy Policy, please contact us at: admin@nwstraits.com or 360.599.5206.

We respect and value that you have entrusted us with your private financial information, and we will work diligently to maintain that trust. We are committed to preserving that trust by respecting your privacy as provided herein.