

PRIVACY POLICY

Ascend Financial Consultants, Inc.

790 E Colorado Blvd, Suite 200

Pasadena, CA 91101

Phone: (626) 405-0256

CRD# 289183

www.ascendfc.com

FACTS	WHAT DOES ASCEND FINANCIAL CONSULTANTS, INC. (the “Firm”) DO WITH YOUR PERSONAL INFORMATION?
Why?	Investment advisers are required by law to inform their clients of their policies regarding privacy of client information. We are bound by professional standards of confidentiality that are even more stringent than those required by law. Federal law gives the customer the right to limit some but not all sharing of personal information. It also requires us to tell you how we collect, share, and protect your personal information.
What?	We collect nonpublic personal information about you that is either provided to us by you or obtained by us with your authorization. This can include but is not limited to your Social Security Number, Date of Birth, Banking Information, Financial Account Numbers and/or Balances and Sources of Income. When you are no longer our customer, we may continue to share your information only as described in this notice.
How?	All investment advisers may need to share customers’ personal information to run their everyday business. In the section below, we list the reasons we may share your personal information; the reason the Firm chooses to share; and whether you can limit this sharing.

Reasons we share your personal information	Does the Firm 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, or at your request to other service providers you identify to us acting on your behalf.	Yes	No
For our marketing purposes— to offer our products and services to you	Yes	No
For joint marketing with other financial companies	No	We don’t share
For our affiliates’ everyday business purposes— information about your transactions, experiences and creditworthiness	No	We don’t share
For our affiliates and non-affiliates to market to you	No	We don’t share

Questions?	Please call if you have any questions. Your privacy, our professional ethics, and the ability to provide you with quality financial services are very important to us. Contact Stephanie DeWitt at 626.405.0256 or sdewitt@ascendfc.com
-------------------	---

Who we are	
Who is providing this notice?	ASCEND FINANCIAL CONSULTANTS, INC.

What we do	
How does the Firm protect my personal information?	To protect your personal information from unauthorized access and use, we use security measures that comply with state and federal law. These measures include computer safeguards and secured files and buildings.
How does the Firm collect my personal information?	We collect your personal information, for example, when you: <ul style="list-style-type: none"> • Enter into an Investment Advisory Contract or deposit money • Open an account or seek advice about your investments • Seek financial advice or provide account information
Why can't I limit all sharing?	Federal law gives you the right to limit only: <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.</p>

Definitions	
Affiliates	Companies related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> • <i>Ascend Financial Consultants, Inc. has no affiliates.</i>
Non-affiliates	Companies not related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> • <i>Ascend Financial Consultants, Inc. does not share with non-affiliates so they can market to you.</i>
Joint marketing	A formal agreement between non-affiliated financial companies that together market financial products or services to you. <ul style="list-style-type: none"> • <i>Ascend Financial Consultants, Inc. does not jointly market.</i>

Other Important information	
Information for Vermont, California and Nevada customers	
In response to a Vermont regulation, if we disclose personal information about you to non-affiliated third parties with whom we have joint marketing agreements, we will only disclose your name, address, other contact information, and information about our transactions or experiences with you.	
In response to a California law, we automatically treat accounts with California billing addresses as if you do not want to disclose personal information about you to non-affiliated third parties except as permitted by the applicable California law. We will also limit the sharing of personal information about you with our affiliates to comply with all California privacy laws that apply to us.	
Nevada law requires us to disclose that you may request to be placed on our “do not call” list at any time by calling 1-831-759-6300. To obtain further information, contact the Bureau of Consumer Protection, Office of the Nevada Attorney General at 555 E. Washington Ave., Suite 3900, Las Vegas, NV 88101; phone 1-702-486-3132; email BCPINFO@ag.state.nv.us.	