



PHASE 3 Advisory Services

Weathering Any Financial Season

Privacy Notice Regarding Client Privacy

Maintaining the trust and confidence of our clients is a high priority. That is why we want you to understand how we protect your privacy when we collect and use information about you, and the steps that we take to safeguard that information. This notice is provided to you on behalf of Phase 3 Advisory Services, Ltd.

Information We Collect: In connection with providing investment products, 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, asset and income;
- Information about your transactions with us, our affiliates or others; and
- Information received from credit or service bureaus or other third parties, such as your credit history or employment status.

Categories of Information We Disclose: We may disclose all information that we collect. Phase 3 Advisory Services, Ltd. and its affiliates do not sell customer lists and will not sell your name to telemarketers.

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

- To your authorized Financial Advisor and his or her manager; Phase 3 Advisory Services, Ltd. permits Financial Advisors and Investment Advisers that terminate their Affiliation with Phase 3 Advisory Services, Ltd. to make copies of their client files.
- To our parent company, Royal Alliance Associates, Inc. or their affiliates, to the extent permitted by law;
- 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;
- To consumer reporting agencies;
- To third parties who perform services or marketing 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 to comply with regulatory inquiries.
- We may disclose not-public personal information about you in connection with the transfer of your account to another financial institution at your request or the request of your advisor. If you do not want Phase 3 Advisor Services, Ltd to disclose your nonpublic, personal information with your advisor's new financial institution, please contact us as directed below.

1110 W. Lake Cook Rd. #265A | Buffalo Grove | Illinois | 60089 | (p) 847.520.5545 | (f) 847.589.3308

*Security and advisory services offered through Royal Alliance Associates, Inc., member FINRA/SIPC.
Advisory services offered through Phase 3 Advisory Services, LTD.,
a registered investment advisor not affiliated with Royal Alliance Associates, Inc.*

How We Use Information: Information may be used among the AIG companies that perform support services for us, such as data processors, technical systems consultants and programmers, or companies that help us market products and services to you for a number of purposes, such as:

- **To protect your accounts** from unauthorized access or identity theft;
- **To process your requests** such as securities purchases and sales;
- **To establish or maintain an account with an affiliated third party**, such as a clearing broker-dealer providing services to you and/or Phase 3 Advisory Services, Ltd.
- **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: Please direct complaints to: **Phase 3 Advisory Services, Ltd., 1110 W. Lake Cook Rd., Suite 265, Buffalo Grove, IL 60089, (847) 520-5545.**

Changes to This Privacy Policy: If we make any substantial changes in the way we use or disseminate confidential information, we will notify you. If you have any questions concerning this Privacy Policy, please write to: **Phase 3 Advisory Services, Ltd., 1110 W. Lake Cook Rd., Suite 265, Buffalo Grove, IL, 60089, (847) 520-5545.**

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