Privacy Notice

FACTS	What Does AE Wealth Management ("AEWM") 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 investment experience • Income and risk tolerance • Assets and account transactions When you are *no longer* our customer, we continue to share your information as described in this notice.
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 AEWM chooses to share; and whether you can limit this sharing.

REASONS WE CAN SHARE YOUR PERSONAL INFORMATION	Does AEWM 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 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	AEWM doesn't share
For our affiliates' everyday business purposes – information about your transactions and experiences	Yes	No
For our affiliates' everyday business purposes – information about your creditworthiness	No	AEWM doesn't share
For nonaffiliates to market to you	No	AEWM doesn't share
For non-affiliated broker-dealers to supervise registered representatives that are also investment adviser representatives of AEWM – client account and transaction information	Yes	Yes
If your investment adviser representative leaves AEWM, we may allow her/him to take your contact and account information in order to continue providing services to you	Yes	Yes

WHAT WE DO	
How does AEWM 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. Access to personal information is granted to our home-office associates and investment advisory representatives only to provide investments and services to customers or to serve another legitimate business need.
How does AEWM collect my personal information?	We collect your personal information, for example, when you • Open an account or give us your contact information • Seek advice about your investments or tell us about your investment or retirement portfolio • Enter into an investment advisory contract • Direct us to buy or sell your securities We also collect your personal information from others, such as credit bureaus, affiliates, or 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.
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 financial companies such as Advisors Excel, LLC.*
Nonaffiliates	Companies not related by common ownership or control. They can be financial and nonfinancial companies. • *AEWM does not share with nonaffiliates so that they can market to you.*
Joint Marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. • *AEWM doesn't jointly market.*

TO LIMIT OUR SHARING	▪ Call (866) 363-9595 and ask for the Compliance Department or ▪ Mail in the form provided at the end of this notice. 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 contact us at any time to limit our sharing.
QUESTIONS?	Call (866) 363-9595

MAIL-IN FORM

	Mark if you want to limit: ☐ Sharing information about my transactions for supervision purposes to non-affiliated broker-dealers.	
	Mark if you want to limit: ☐ Sharing my contact and account information if my investment adviser representative leaves AEWM.	
	Name	
	Address	
	City, State, Zip	
	Account Number	
Mail To:	Attn: Compliance AE Wealth Management 2950 SW McClure Rd., Ste. B Topeka, KS 66614	