

# Golden State Wealth Management, LLC

## PRIVACY NOTICE REGARDING CLIENT PRIVACY AS REQUIRED BY REGULATION S-P & REGULATION S-AM

**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 Golden State Wealth Management, LLC.**

**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, assets, 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, retirement plans, or employment status.

**Categories of Information We Disclose:** We may only disclose information that we collect in accordance with this policy. Golden State Wealth Management, LLC does 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 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;
- 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; and
- To investment adviser representative(s) who serviced your account, upon their departure from Golden State Wealth Management, LLC, so that such representative can continue to service your account(s) at a new firm.

**How We Use Information:** Information may be used among 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 unaffiliated third party**, such as a clearing broker-dealer providing services to you and/or Golden State Wealth Management, LLC;
- **To service your accounts**, such as by issuing checks and account statements;
- **To comply** with Federal, State, and Self-Regulatory Organization requirements;

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- **To keep you informed** about financial services of interest to you.

**Regulation S-AM:** Under Regulation S-AM, a registered investment adviser is prohibited from using eligibility information that it receives from an affiliate to make a marketing solicitation unless: (1) the potential marketing use of that information has been clearly, conspicuously, and concisely disclosed to the consumer; (2) the consumer has been provided a reasonable opportunity and a simple method to opt out of receiving the marketing solicitations; and (3) the consumer has not opted out. Golden State Wealth Management, LLC does not receive information regarding marketing eligibility from affiliates to make solicitations.

**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: Patrick Catone at Golden State Wealth Management, LLC, 201 E. Sandpointe Ave, Ste 460, South Coast Metro, CA 92707; (866) 273 1563 Ext. 1.

**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 contact us at: Golden State Wealth Management, LLC, 201 E. Sandpointe Ave, Ste 460, South Coast Metro, CA 92707; (866) 273 1563

**State Specific Regulations:** Pursuant to California Consumer Privacy Act ("CCPA"), California residents, as defined in Section 17014 of Title 18 of the California Code of Regulations, have certain rights regarding their personal data. These rights include the Right to be Notified of the personal information that GSWM has collected about you over the last 12 months; the Right to Request the personal information that GSWM has collected about you; the Right to Delete, with exceptions, the personal information that GSWM has collected about you; and the Right to not be discriminated against for exercising any of the above rights.

To request the personal information that has been collected about you or to request deletion, please call Patrick Catone at Golden State Wealth Management at 866-273-1563.

In response to the CCPA, to be conservative we assume accounts with California addresses do not want us to disclose personal information about you to non-affiliated third parties, except as permitted by Federal and California law. We also limit the sharing of personal information about you with our affiliates to ensure compliance with California privacy laws.