Privacy Policy

Protocol Wealth, LLC

Effective / Last Revised: November 20, 2026

Last updated November 20, 2026; change reference v4.0.

This policy explains what personal information Protocol Wealth collects, how we use it, who receives it, and the choices you have. It covers our clients and anyone who uses our websites and portals.

If you are a client, our privacy notice in the SEC's standard form is at protocolwealthllc.com/privacy-notice. It states the reasons we share your information and whether you can limit that sharing.

What we collect

- **Information you give us,** such as your name and contact details, Social Security or tax identification number, identification documents, income, assets, debts, goals, your answers to our questionnaires, and documents you send or upload.
- **Information about your accounts,** such as balances, holdings and transactions, from the custodians that hold your accounts and from accounts at other institutions that you choose to link.
- **Information from your use of our sites,** such as sign-in details, pages you visit, security logs and your device's internet address.

How we use it

We use personal information to provide our advisory services, to run and secure our business and our sites, to tell you about our services, and to meet our legal and regulatory obligations.

We do not sell personal information. We do not share it with other companies for their marketing.

Who receives it

- **Financial companies that hold or service your accounts,** such as custodians, brokers and banks.

- **Service providers that work for us,** such as technology, communications, payment and artificial intelligence providers. We allow them to use the information only to provide their services to us.
- **Regulators, courts and others,** where the law requires or permits.
- **Anyone you ask us to share it with,** such as your accountant or attorney.

Our current list of service providers is at protocolwealthllc.com/subprocessors.

Use of AI Tools and Data Privacy

We use AI tools in our work and in some portal features. AI providers that receive client information work for us as service providers, under terms that restrict their use of it. Our AI & Technology Use Disclosure explains how we use AI. You can ask us to keep your information out of outside AI services, or not to use AI on your account, by contacting privacy@protocolwealthllc.com.

Signing in with Google and linking accounts

If you sign in to your client portal with Google, we receive your name, email address, profile picture and Google account ID. We use them to sign you in, show who is signed in, connect you to your client record or account application, and keep your account secure. We get no access to your Gmail, Drive, contacts, calendar or other Google account data. We keep your Google account ID with your client record, and with any account application, for as long as we keep your records. We share it only with the service providers that run the portal and as the law requires. Our use and transfer of information received from Google APIs follows the Google API Services User Data Policy, including its Limited Use requirements.

If you link an account at another financial institution, you sign in on the connection provider's own screen. We never receive your login for that institution. You can disconnect a linked account at any time.

Cookies

Our sites use only the cookies needed to sign you in and keep the sites secure. We do not use advertising cookies, and we do not track you across other websites or allow other companies to do so through our sites. Our sites do not respond to browser "Do Not Track" signals.

How we protect it

We protect personal information with administrative, technical and physical safeguards that comply with federal law, including encryption and access controls. If a client's sensitive information is, or is likely to have been, accessed or used without authorization, we will notify the client as soon as practicable and no later than 30 days after becoming aware of the incident, except where SEC Regulation S-P provides otherwise.

How long we keep it

We keep personal information for as long as we need it to serve you and to meet our record-keeping obligations. When we dispose of personal information, we do so securely.

Your choices

You can ask us for a copy of the personal information we hold about you, ask us to correct it, or ask us to delete it. We will respond within a reasonable time. We may keep information that the law requires us to keep or that we need for our records. Depending on where you live, you may have additional rights under state law.

We do not record or transcribe a meeting with you unless you agree first.

To make a request, contact privacy@protocolwealthllc.com.

Outside the United States

We are based in the United States, and our main systems store information here. Some service providers may process it elsewhere. If you live outside the United States, your information is subject to U.S. law, which may protect it less than your country's law does. By using our services, you consent to your information being transferred to and handled in the United States as this policy describes.

Changes to this policy

We post any change on this page with a new effective date. If a change affects how we share client information, we send clients a revised privacy notice as the law requires.

Contact

privacy@protocolwealthllc.com

Protocol Wealth, LLC Attn: Chief Compliance Officer 201 Milwaukee St., Suite 200 Denver, CO 80206 720-383-4550

Protocol Wealth, LLC | SEC-Registered Investment Adviser | CRD #335298