

# Moreton Asset Management, LLC

## PRIVACY PLEDGE AND NOTIFICATION



Moreton Asset Management, LLC (Moreton) respects your right to privacy. We have always been committed to secure the confidentiality and integrity of your personal information. The information we collect and the extent to which we use it will vary depending on the service involved. We are proud of our privacy practices and want our current and prospective clients to understand what information we collect and how we use it.

### Terms you should know:

Personal (public) information:

- information such as your name, address, phone number, place of employment, items that you would find in a phonebook or on the internet.

Non - Public information:

- information such as your Social Security number, date of birth, phone number if unlisted, income, financial situation, information given by you when opening an account, applying for a loan or financial planning.

Affiliated company is:

- Companies related by common ownership or control, our affiliated companies are Moreton & Co. and Moreton Brokerage Services

Non-Affiliated/third party company is:

- Companies not related by common ownership or control, they could be your insurance carrier, your broker/dealer, a company that prints statements or does a company's payroll.

### Why We Collect Your Information

We gather information about you:

- to help us understand what your financial needs are now and in the future
- for financial planning, suitability, insurance coverage for you personally or for your business
- to know who you are and thereby prevent unauthorized access to your information
- design and improve services we offer
- to comply with the laws and regulations that governs us.

### What Information We Collect

The information we collect varies depending on the products and services you request and may include:

- information about your identity, such as your name, address, social security number, birth date
- information such as your income, financial and retirement goals, beneficiaries
- information about your company, your employees and partners
- third-party reports, such as motor vehicle records, demographic and/or medical information, if relevant to your product or service
- information about your transactions with us, our affiliates, or others

### How We Collect Your Information

We collect information about you, for example, from the following sources:

- information we receive from you on applications or other related forms and statements
- information your employer, benefit plan sponsor, or association may provide
- information from our affiliates, your broker/dealer, your insurance carrier or medical provider

### Do We Share Your Personal and/or Non-Public Information

All financial companies need to share client information to run their everyday business, the following describes what information is shared and why:

- We **do share** your personal information with our affiliates (Moreton & Co. and Moreton Brokerages Services, Moreton Business Solutions, Moreton Retirement Partners) for our everyday business purposes. (Your *non-public information* is shared only with your approval)

- We **do share** your personal and non-public information with non-affiliated third parties such as your securities broker/dealer, your insurance carrier, insurance wholesalers for insurance underwriting, your attorney or tax consultant for financial planning.
- We **do not share** personal or non-public information about our former clients except as permitted by Law.
- We **do not share or sell** your personal information to non-affiliated companies or third parties to market their products to you.

Moreover, we will not release information about our clients or former clients unless one of the following conditions is met:

- We receive your prior written consent.
- We believe the recipient to be you or your authorized representative.
- We are required by law to release information to the recipient.

We only use information about you to help us better serve your investment needs or to suggest services that may be of interest to you.

**Confidentiality and Security**

We maintain physical, electronic and procedural safeguards to guard your personal account information. We also restrict access to your personal and financial data to authorized Moreton Asset Management, LLC associates who have a need for these records. We require all non-affiliated organizations to conform to our privacy standards and are contractually obligated to keep the information provided confidential and used as requested. Furthermore, we will continue to adhere to the privacy policies and practices described in this notice even after your account is closed or becomes inactive.

**MORETON ASSET MANAGEMENT Customer Identification Program Notice:**

To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account.

**What this means for you:**

When you open an account, we will ask for your name, address, date of birth and identification number. For a non-citizen the identification number would include the taxpayer identification number, passport number, and country of issuance, alien identification number, or government-issued identification showing nationality, residence, and photograph of you. We may ask to see your driver’s license or other identifying documents. A corporation, partnership, trust or other legal entity may need to provide other information, such as its principal place of business, local office, employer identification number, certified articles of incorporation, government-issued business license, a partnership agreement or a trust agreement.

**To Contact Us**

For questions regarding our privacy policy, please contact us at 801-869-4200, fax at 801-869-4204, or via email at [Team@MoretonAdvisors.com](mailto:Team@MoretonAdvisors.com).

----- cut here and return if you are opting out -----

**Opt-Out Option**

As a Moreton client, you have choices about who we share your information with. As you consider this, we encourage you to make choices that enable us to provide you with services that help you meet your financial needs. **PLEASE SIGN BELOW TO VALIDATE YOU HAVE READ AND RECEIVED THIS POLICY AND RETURN TO MORETON ASSET MANAGEMENT AT 709 E. SOUTH TEMPLE, SALT LAKE CITY, UT 84102.** If an opt-out is being requested, please check the appropriate boxes below.

**I would like to Opt-out of the sharing of my personal information with: (check those that apply)**

Moreton Asset Mgt. affiliates (Moreton & Co., Moreton Wealth Advisors, Moreton Brokerage Services, Moreton Business Solutions, Moreton Retirement Partners) -

- Marketing

Non-affiliated/third parties –

- Broker/dealer
- Insurance carrier
- Attorney or tax consultant
- Insurance wholesalers for underwriting

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Customer/Entity Name