

FACTS	WHAT DOES AVANTAX PLANNING PARTNERS SM DO WITH YOUR PERSONAL INFORMATION?
Why?	Financial institutions 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 Privacy Notice (“ Notice ”) carefully to understand what we do.
What?	<p>As a registered investment adviser, Avantax Planning PartnersSM must collect certain personally identifiable financial information about our customers that is not publicly available to meet our fiduciary duty to provide them with suitable investment services and advice. The types of nonpublic personal information that we collect, and share depends on the products and/or services you obtain from us. This information can include:</p> <ul style="list-style-type: none"> ▪ Social Security numbers, Driver’s License numbers ▪ Annual income, net worth, tax liability, account balances ▪ Account statements, governing (legal) documents <p>When you are <i>no longer</i> our customer, we continue to share your information as described in this Notice.</p>
How?	All financial institutions need to share their customers’ personal information to run their everyday business. In the section that follows, we list the reasons financial companies can share their customers’ personal information; the reasons that we choose to share; and whether you can limit this sharing.

Reasons we share your personal information	Do we share?	Can you limit this sharing?
For our everyday business purposes— to open and maintain your account(s), to facilitate the processing of transactions that you may request or authorize, to settle transactions, and to respond to regulatory inquiries (including court orders and legal investigations or reports to credit bureaus).	Yes	No
For our marketing purposes— to offer our products and/or services to you.	Yes	No
For our affiliates’ everyday business purposes— information about your transactions and experiences, or as otherwise necessary to provide our investment advisory services to you.	Yes	No
For our affiliates to market to you.	Yes	Yes
For our affiliates’ everyday business purposes— information about your creditworthiness.	No	N/A
For joint marketing with other financial companies.	No	N/A
For non-affiliates to market to you.	No	N/A

To limit our sharing	<ul style="list-style-type: none"> ▪ Call 800-791-8994 (toll free) and request to be put in contact with our Compliance team, or ▪ Visit us online: avantaxplanningpartners.com. <p>Please note: If you are a <i>new</i> customer, we can begin sharing your information 7 days from the date we sent this notice. When you are no longer our customer, we continue to share your information described in this notice. However, you can contact us at any time to limit our sharing.</p>
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Questions?	Call us at 563-582-2855 (toll) 800-791-8994 (toll free) or go to www.avantaxplanningpartners.com .
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Who we are

Who is providing this Notice?	Avantax Planning Partners SM
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What we do

How do we protect my personal information?	We maintain physical, electronic, and procedural safeguards that comply with federal law. We restrict access to customers' personal information to only those employees and advisors acting on our behalf who need to know it to provide products or services to you. We require non-affiliates with which we enter into arrangements that might involve the exchange of personal information to maintain similar safeguards. We will maintain customers' personal information throughout the customer relationship, and for the subsequent period following its termination required by law. After that time, we may destroy that information using methods that are reasonably designed to protect customers' personal information.
How do we collect my personal information?	We collect your personal information, for example, when you: <ul style="list-style-type: none"> ▪ Complete account opening documentation, custodian applications or other forms; ▪ Provide governing documents (such as trust or estate records), transactional records (from banks or other financial services firms, and/or accountants and other professional advisors), and other pertinent financial records.
Why can't I limit ALL sharing?	Federal law gives you the right to limit <i>only</i> : <ul style="list-style-type: none"> ▪ sharing for affiliates' everyday business purposes—information about your creditworthiness; ▪ affiliates from using your information to market to you; ▪ sharing for non-affiliates to market to you. State laws and individual financial institutions may give you additional rights to limit sharing.

Definitions

Affiliates	Companies related by common ownership or control. They can be financial and nonfinancial institutions. <ul style="list-style-type: none"> ▪ <i>Our common-control affiliates are Avantax Investment ServicesSM, Avantax Advisory ServicesSM, Avantax Insurance Agency, LLC., Avantax Insurance ServicesSM, TaxAct, Inc. & Tax-Smart Research, LLC.</i>
Non-affiliates	Companies not related by common ownership or control. They can be financial and nonfinancial institutions. <ul style="list-style-type: none"> ▪ <i>Avantax Planning PartnersSM does not share with non-affiliates so they can market to you.</i>
Joint marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. <ul style="list-style-type: none"> ▪ <i>Avantax Planning PartnersSM does not have any joint marketing partners.</i>

Other important information

As stated above, we restrict the disclosure of your non-public personal, sensitive, and confidential information. We only share your information as indicated in this Notice, or as required by law. In accordance with Section 248.13 of Regulation S-P, we may disclose all the information we collect, as described above, to certain non-affiliated third parties, such as attorneys, accountants, auditors, and persons or entities that are assessing our compliance with industry standards. We enter into contractual agreements with all non-affiliated third parties that prohibit them from disclosing or using that information other than to carry out the purposes for which we disclose the information. We may share client information with our sub-advisers. Federal law gives you the right to limit our sharing of information with an affiliate *for their everyday business purposes*, except when we have a sub-advisory relationship with an affiliate. State laws may give you additional rights to limit sharing. Please contact us *in writing* to limit the sharing of your personal information at 3390 Asbury Road, Dubuque, IA 52002, or you can email our Chief Compliance Officer, Chris Kobes, at chris.kobes@avantax.com.