

**FACTS****WHAT DOES REDWOOD FINANCIAL NETWORK 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 Income**  
**Investment Experience and Assets**  
**Employment Information and Risk Tolerance**

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 Redwood Financial Network chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does Redwood Financial Network share?	Can you limit this sharing?
<b>For our everyday business purposes –</b> such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	<b>YES</b>	<b>NO</b>
<b>For our marketing purposes –</b> to offer our products and services to you	<b>NO</b>	<b>We don't share</b>
<b>For joint marketing with other financial companies</b>	<b>NO</b>	<b>We don't share</b>
<b>For our affiliates' everyday business purposes –</b> information about your transactions and experiences	<b>NO</b>	<b>We don't share</b>
<b>For our affiliates' everyday business purposes –</b> information about your creditworthiness	<b>NO</b>	<b>We don't share</b>
<b>For non-affiliates to market to you</b>	<b>NO</b>	<b>We don't share</b>

**Questions?**

Call **1-800-950-4902** or go to

[www.redwoodfn.com](http://www.redwoodfn.com)

## Who we are

Who is providing this notice?

**Redwood Financial Network**

## What we do

**How does Redwood Financial Network 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.

We maintain safeguards that comply with federal standards to protect nonpublic personal information of our customers, including procedures to assure appropriate access to, and use of, information about our customers.

**How does Redwood Financial Network collect my personal information?**

We collect your personal information, for example, when you

**Seek advice about your investments** or **Enter into an investment advisory contract**

**Show your driver's license** or **Give us your contact information**

**Tell us about your investment or retirement portfolio**

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.

## Definitions

**Affiliates**

Companies related by common ownership or control. They can be financial and nonfinancial companies.

***Redwood Financial Network has no affiliates.***

**Non-affiliates**

Companies not related by common ownership or control. They can be financial and nonfinancial companies.

***Redwood Financial Network does not share with non-affiliates so they can market to you.***

**Joint Marketing**

A formal agreement between nonaffiliated financial companies that together market financial products or services to you.

***Redwood Financial Network does not jointly market.***

## Other important information

Who we share your information with:

- i With broker-dealer firms having regulatory requirements to supervise certain of Redwood Financial Network's activities.