



### **VESTGEN ADVISORS NOTICE OF PRIVACY POLICY**

This policy is designed to protect the privacy and security of the personal information we obtain from clients. To service your account adequately, we must collect and maintain certain confidential information about you. In accordance with the laws, regulations and rules we are governed by, we are providing this Privacy Policy Notice to all new and existing customers.

### **INFORMATION WE COLLECT FROM YOU**

We collect certain nonpublic personal identifying information about you (name, address, social security number, date of birth, income, assets, investment preferences, etc.) from information that you provide on applications or other forms, as well as communications (electronic, telephone, written or in person) with you or your authorized representatives. We collect information about your accounts and transactions (such as purchases, sales, account balances, inquiries, etc.), information to process transactions or to conduct online transactions. If you apply for life insurance, we may receive information on your health or habits.

### **INFORMATION FROM THIRD PARTIES**

If needed, we may obtain information from third parties to evaluate your application or verify your identity, including personal and credit information from consumer reporting agencies, or information from other companies about contracts or accounts transferred to us.

### **MEDICAL INFORMATION**

We only collect medical information required to underwrite life insurance or annuity products. We will obtain written consent from you before we obtain this information from third parties. Such information is not shared for marketing purposes.

### **INFORMATION WE SHARE**

We share information only in a limited way to conduct business and provide service to customers, or as required by law. The law allows us to share the personal information listed above with our affiliated firms, also known as our family of companies. We share this information to conduct routine business activities. These third parties are prohibited from using or sharing the information for any other purpose, including marketing, and they are required by contract to maintain the confidentiality of your information. Certain VestGen advisors conduct securities business through unaffiliated broker dealers; those broker dealers have regulatory requirements to supervise the activity of those advisors, necessitating the sharing of information with the broker dealer for that sole purpose.

### **WHAT INFORMATION WE DISCLOSE**

We do not disclose your nonpublic personal information except: (i) in furtherance of our business relationship with certain providers necessary to effect transactions and services (broker-dealers, custodians, Money Managers, etc.); (ii) regulatory bodies; (iii) our attorneys, accountants, and auditors; or (iv) as otherwise provided by law. If you either terminate our services or become an inactive customer, we will continue to adhere to

our privacy policy, as may be amended from time to time.

### **SAFEGUARDING OF YOUR INFORMATION**

We restrict access to your nonpublic personal information to those employees servicing your account. We train our employees to keep your information safe and confidential. We maintain physical, electronic, and procedural safeguards that comply with applicable federal and state standards.

### **CHANGES TO OUR PRIVACY POLICY**

Our Privacy Policy may change from time to time. We will provide you with notice of material changes, and you will also receive a copy of this notice once every 12 months.

### **WITHIN OUR FAMILY OF FIRMS**

This Privacy Policy Notice applies to our affiliated companies including: VestGen Wealth Partners Holdings, LLC, VestGen Wealth Partners, LLC, VestGen Investment Management, LLC and VestGen Insurance Partners, LLC.

### **OPTING OUT OF THIRD-PARTY DISCLOSURES**

If you prefer that VestGen not disclose the nonpublic personal information about you to non-affiliated third parties, you may opt out of such disclosures – that is, you may direct us to not make those disclosures, other than those permitted by law. If you wish to so opt out, you may contact our Compliance Department at 847-907-9600, or send a written request to the firm address below.

### **FOR QUESTIONS, PLEASE CONTACT US ATTN:**

Compliance: VestGen Advisors  
1605 W. Colonial Parkway  
Inverness, IL 60067  
312.237.4446  
Compliance@vestgen.com

For a copy of VestGen's most recent Form ADV, Privacy Policy, or to make changes to your financial situation or investment objectives, please contact your Financial Advisor or VestGen.com

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