

PRIVACY POLICY NOTICE

Compliance Document • Gramm-Leach-Bliley Act (GLBA) & SEC Rule 204-2

Effective Date: June 12, 2026

Firm Name: Pride of the West Financial, LLC

CRD Number: 331990

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.

1. Types of Information We Collect

The types of personal information we collect and share depend on the product or service you have with us. This information can include, but is not limited to:

- **Identifiers and Demographics:** Social Security Number, date of birth, driver's license number, passport details, postal address, and email address.
- **Financial Profile:** Assets, net worth, annual income, investment experience, employment status, tax brackets, and risk tolerance.
- **Account Activity:** Transaction history, account balances, routing/account numbers, investment performance, and fee payment histories.
- **Verification Data:** Information received from consumer reporting agencies, custodians, or other third parties to verify identity or credit standing.

2. How We Collect Personal Information

We collect your personal information, for example, when you open an investment management or financial planning account, enter into an advisory contract, deposit or withdraw funds, or seek advice about your investments. We also collect your personal information from other entities, including clearing firms, custodians, brokerage firms, or independent consumer reporting companies.

3. How and Why We Share Information

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, whether Pride of the West Financial, LLC chooses to share, and whether you can limit this sharing.

Reasons we can share your personal information	Does the Firm share?	Can you limit sharing?
For our everyday business purposes – such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus.	YES	NO
For our marketing purposes – to offer our investment products and services to you.	YES	NO
For joint marketing with other financial companies – collaborative financial offerings.	NO	We don't share
For our affiliates' everyday business purposes – information about your transactions and experiences.	No	We don't share
For our affiliates' everyday business purposes – information about your creditworthiness.	NO	We don't share
For nonaffiliates to market to you – third-party brokers, insurance agents, or service providers.	No	We don't share

Regulatory Flag: If you are a **Protocol** firm (permitting departing advisors to take basic data to a new firm), you must indicate **YES** to nonaffiliate marketing sharing and give clients an explicit opt-out form.

4. How We Protect Your Information

To protect your personal information from unauthorized access and use, we maintain comprehensive physical, electronic, and procedural safeguards that comply with federal standards (SEC Regulation S-P and Rule 206(4)-7). These measures include:

- Computer safeguards such as enterprise-grade firewalls, multi-factor authentication (MFA), data encryption both at rest and in transit, and secure access protocols.
- Restricted employee access to nonpublic personal information, granted solely to individuals who require that data to provide services or maintain client accounts.
- Confidentiality agreements and regular privacy compliance training for all firm personnel.
- Strict due-diligence evaluations of third-party vendors and custodians to verify they maintain equivalent security measures.

5. State-Specific Rules and Opt-Out Provision

- **California / Vermont Residents:** In accordance with state laws, we will automatically limit sharing of your info among our affiliates and nonaffiliates unless you explicitly authorize it.
- **Nevada Residents:** Nevada law requires that we provide you with this notice. You may request to be placed on our internal Do Not Call list.

6. Questions & Contact Information

If you have questions about this privacy notice or wish to limit our sharing of your information (where permissible), please contact our Chief Compliance Officer:

- **Attn:** Chief Compliance Officer
- **Firm Name:** Pride of the West Financial, LLC
- **Mailing Address:** 30 N. Gould St. Ste R, Sheridan, WY 82801
- **Phone Number:** (307) 222-4519
- **Email Address:** alissa@prideofthewestfinancial.com