

August 26, 2020

Dear Investor:

Our Commitment to Your Privacy

Under rules of the Securities and Exchange Commission financial institutions like Asset Allocation & Management Company, LLC (“AAM”, “we”, “our”) is required to provide privacy policy notices to their clients (“you”, “your”). We believe that protecting the privacy of your nonpublic personal information is of the utmost importance, and we are committed to maintaining the privacy of your nonpublic personal information in our possession.

We will not share nonpublic personal information about our clients with nonaffiliated third parties without prior client consent, except for specific purposes described below. This notice explains our collection, use and safeguarding of client information.

This privacy notice applies to current clients, former clients and individuals who obtain or have obtained services from AAM.

How AAM Gathers Information:

We collect nonpublic personal information about you from the following sources:

- i. Client agreements and other information that clients provide to us or our affiliates, whether in writing, in person, by telephone, electronically or by any other means. This information may include a client’s name, address, phone number, email address and social security number;
- ii. Personal tax returns provided by the client;
- iii. Transactions on a client’s behalf. This information may include the client’s account balances, positions, investment interests and history; and
- iv. Public sources.

Sharing Information with Nonaffiliated Third Parties

We do not disclose any nonpublic personal information about our current or former clients without their consent except that:

- i. Third parties may be used by AAM to assist in the management or maintenance of client accounts (such as a client’s custodian) and service providers that may be recommended or engaged by AAM in furtherance of the client’s engagement of AAM;
- ii. Client information may be released to client’s accountancy, legal and other third-party representatives at client’s direction;
- iii. Client information may be released in accordance with applicable laws and regulations.

We do not make any disclosure of client nonpublic personal information to other companies who may want to sell their products or services to you.

Opt Out Provision

If, at any time in the future, it is necessary to disclose any client personal information in a way that is inconsistent with this policy, AAM will give its clients advance notice of the proposed disclosure so that they will have the opportunity to either opt-in or opt-out of such disclosure, as required by applicable law.

Clients are advised that AAM believes that sharing client private information under the circumstances noted above is either mandated by law or necessary for AAM to conduct our business and to best service client accounts.

Our Security Practices and Information Accuracy

We take steps to safeguard client information. We restrict access to the personal and account information of our clients to those personnel who need to know that information in order to provide services to you. We maintain physical, electronic, and procedural safeguards to guard your personal information.

Additionally, we have internal controls to keep client information as accurate and complete as we can. If you believe that any information that AAM maintains about you is not accurate, please let us know.

Other Information

We reserve the right to change this Privacy Policy. The examples contained within this Privacy Policy are illustrations, and they are not intended to be exclusive. If you have any questions about our Privacy Policy, please contact Chelsea Klassa, Chief Compliance Officer at 312-845-2308.