

# UNITED ADVISOR GROUP

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## PRIVACY POLICY

Investment advisers are required by law to inform their clients of their policies regarding privacy of client information. We are bound by professional standards of confidentiality that are even more stringent than those required by law.

Federal law gives the customer the right to limit some but not all sharing of personal information. It also requires us to tell you how we collect, share, and protect your personal information.

## TYPES OF NONPUBLIC PERSONAL INFORMATION (NPI) WE COLLECT

We collect nonpublic personal information about you that is either provided to us by you or obtained by us with your authorization. This can include but is not limited to your Social Security Number, Date of Birth, Banking Information, Financial Account Numbers and/or Balances, Sources of Income, and Credit Card Numbers or Information. When you are no longer our customer, we may continue to share your information only as described in this notice.

## PARTIES TO WHOM WE DISCLOSE INFORMATION

All Investment Advisers may need to share personal information to run their everyday business. In the section below, we list the reasons that we may share your personal information:

- For 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;
- For our marketing– to offer our products and services to you;
- For joint marketing with other financial companies;
- For our affiliates' everyday business purposes– information about your transactions and experiences and information about your creditworthiness; or
- For non-affiliates to market to you.

If you are a new customer we may begin sharing your information on the day you sign our agreement. When you are no longer our customer, we may continue to share your information as described in this notice. However, you can contact us at any time to limit our sharing.

# PROTECTING CONFIDENTIALITY OF CURRENT AND FORMER CLIENT'S INFORMATION

To protect your personal information from unauthorized access and use, we use security measures that comply with federal law, including computer safeguards and secured files and building.

## FEDERAL LAW GIVES YOU THE RIGHT TO LIMIT SHARING – OPTING OUT

Federal law allows you the right to limit the sharing of your NPI by “opting-out” of the following: sharing for affiliates’ everyday business purposes – information about your creditworthiness; or sharing with affiliates or non-affiliates who use your information to market to you. State laws and individual companies may give you additional rights to limit sharing. Please notify us immediately if you choose to opt out of these types of sharing.

### DEFINITIONS:

**Affiliates** – companies related by common ownership or control. They can be financial and non-financial companies;

**Non-affiliates** – companies not related by common ownership or control. They can be financial and non-financial companies;

**Joint marketing** – a formal agreement between non-affiliated financial companies that together market financial products or services to you.

## SHARING

Mobile Opt in, SMS Consent, and phone numbers collected for SMS communication purposes will not be shared with any third party or affiliates for marketing purposes.

## SMS TERMS & CONDITIONS

### SMS Consent Communication:

The information (Phone Numbers) obtained as part of the SMS consent process will not be shared with third parties for marketing purposes.

### Types of SMS Communications:

If you have consented to receive text messages from **Modern Wealth Methods** you may receive messages related to the following (provide specific examples):

- Inquiries
- Orders
- Services

**Example:** "Hello, this is a friendly reminder of your upcoming appointment with [Name] at [Location] on [Date] at [Time]. You can reply STOP to opt out of SMS messaging from (Brand Name) at any time."

**Message Frequency:**

Message frequency may vary depending on the type of communication.

For example, you may receive up to [X] SMS messages per week related to your [appointments/billing, etc.].

**Example:** "Message frequency may vary. You may receive up to 2 SMS messages per week regarding your appointments or account status."

**Potential Fees for SMS Messaging:**

Please note that standard message and data rates may apply, depending on your carrier's pricing plan. These fees may vary if the message is sent domestically or internationally.

**Opt-In Method:**

You may opt in to receive SMS messages from **Modern Wealth Methods** in the following ways:

- Verbally, during a conversation
- By submitting an online form
- By filling out a paper form

**Opt-Out Method:**

You can opt out of receiving SMS messages at any time. To do so, simply reply "**STOP**" to any SMS message you receive. Alternatively, you can contact us directly to request removal from our messaging list.

**Help:**

If you are experiencing any issues, you can reply with the keyword HELP. Or, you can get help directly from us at <https://modwealthmethods.com/#contact>

**Additional Options:**

- If you do not wish to receive SMS messages, you can choose not to check the SMS consent box on our forms.

**Standard Messaging Disclosures:**

- Message and data rates may apply.
- You can opt out at any time by texting "**STOP**."
- For assistance, text "**HELP**" or visit our [**Privacy Policy**] and/or [**Terms and Conditions**] pages.
- Message frequency may vary.

**Please call if you have any questions. Your privacy, our professional ethics, and the ability to provide you with quality financial services are very important to us.**