



FACTS

WHAT DOES BRUCE G. ALLEN INVESTMENTS, LLC 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
- Assets and transaction history
- Investment experience and risk tolerance

When you are *no longer* our client, we continue to share your information as described in this notice.

How?

All financial companies need to share clients' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their clients' personal information; the reasons Bruce G. Allen Investments, LLC chooses to share and whether you can limit this sharing.

Reasons we can share your personal information	Does Bruce G. Allen Investments, LLC ?	Can you limit this 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 products and services to you	YES	YES
For joint marketing with other financial companies	NO	We do not share
For our affiliates' everyday business purposes —information about your transactions and experiences	NO	We do not share
For text messaging purposes – To schedule meetings or appointment reminders	YES	YES
For our affiliates' everyday business purposes —information about your creditworthiness	NO	We do not share
For our affiliates to market to you	NO	We do not share
For nonaffiliates to market to you	NO	We do not share
For third-party access	NO	We do not share
Broker-Dealer(s) with Supervisory Requirements	YES	NO

To limit our sharing

Please note:

If you are a new client, we can begin sharing your information 30 days from the date we sent this notice. When you are no longer our client, we continue to share your information as described in this notice. However, you can contact us at any time to limit our sharing. By executing an Investment Advisory Agreement with Bruce G. Allen Investments, LLC, the Client agrees to "opt-in" to this privacy policy.

Questions?

Call: (303) 592-5535



Who we are

Who is providing this notice?

Bruce G. Allen Investments, LLC

SMS Privacy Policy

BGAI, LLC values your privacy. By subscribing to our SMS notification service, you agree to this privacy policy.

Data Collection	<ul style="list-style-type: none"> ■ We collect your phone number and name for SMS mobile messaging through the execution of the Investment Advisory Agreement and new account paperwork.
Data Usage	<ul style="list-style-type: none"> ■ Your data is used solely for sending SMS messages This includes SMS messages for appointment scheduling or appointment reminders.
Data Security	<p>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.</p> <ul style="list-style-type: none"> ■ We take reasonable steps to ensure the confidentiality of client information shared via text messages. However, clients are reminded to avoid including sensitive personal or financial information, such as account numbers or Social Security numbers, in text messages. ■ We do not share any individual's consent to receive SMS from BGAI, LLC with third parties. We do not share phone numbers for SMS purposes or affiliate marketing.
Data Retention	<ul style="list-style-type: none"> ■ We retain your contact data for the duration of your enrollment. You may request deletion at any time.
Opt Out	<ul style="list-style-type: none"> ■ Reply STOP to any message to unsubscribe.
Non-Sharing Clause	<ul style="list-style-type: none"> ■ We do not share your information with third parties for marketing purposes. Your information is only shared with our SMS provider for secure messaging.

What we do

How does Bruce G. Allen Investments, LLC protect my personal information?	<p>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.</p>
How does Bruce G. Allen Investments, LLC collect my personal information?	<p>We collect your personal information, for example, when you</p> <ul style="list-style-type: none"> ■ open an account or give us contact information ■ enter into an investment adviser contract or give us your income information ■ tell us about your investment or retirement portfolio <p>We also collect your personal information from other companies.</p>



What we do (continued)

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; and
- sharing for nonaffiliates to market to you

State laws and individual companies may give you additional rights to limit sharing.

What happens when I limit sharing or an account I hold jointly with someone else?

Your choices will apply to everyone on your account – unless you tell us otherwise.

Definitions

Affiliates

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

- **NONE**

Non-affiliates

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

- **NONE**

Joint Marketing

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

- **NONE**

Other important information

Bruce G. Allen Investments, LLC may share information with broker-dealer firms having regulatory requirements to supervise certain activities of Bruce G. Allen Investments' activities. By signing and executing Bruce G. Allen Investments, LLC's Agreement, you agree to opt into this privacy policy.

SMS Terms of Service

By opting into SMS through WhatsApp, you are agreeing to receive SMS messages from Bruce G. Allen. This includes SMS messages for appointment scheduling or appointment reminders. Message frequency varies. Message and data rates may apply. See privacy policy. Message HELP for help. Reply STOP to any message to opt out. We reserve the right to revise this policy from time to time without prior notice. You will be notified of any material changes in Our Privacy Policy either by email or by a conspicuous posting on our website: <https://brucegalleninvestments.com/>