

**Privacy Policy Notice**  
**Wealth Advisors of Iowa, LLC**

March 30, 2021

***Our Promise to You***

As a client of WAI, you share both personal and financial information with us. Your privacy is important to us and we are dedicated to safeguarding your personal and financial information.

***Information Provided by Clients***

In the normal course of doing business, we typically obtain the following non-public personal information about our clients:

- Personal information regarding our clients' identity such as name, address and social security number;
- Information regarding securities transactions effected by us; and
- Client financial information such as net-worth, assets, income, bank account information and account balances.

***How We Manage and Protect Your Personal Information***

- Require new associates to review and acknowledge the firm's compliance policy manual, which includes this privacy policy, and all associates to review and acknowledge the compliance policy manual annually.
- Prohibit associates from providing client information over the telephone or in response to an e-mail message unless the associate has identified the other person as the client, a fiduciary representative of the client, an authorized agent of the client or a party that needs the information to complete a transaction for the client (such as broker-dealers, custodians or administrative service providers.)
- Maintain appropriate security measures for our computer and information systems, including the use of encryption, usernames/passwords and firewalls.
- Use locks and other appropriate physical security measures to safeguard client information stored in paper format. For example, associates are expected to secure client information within locked cabinets when the office is closed.
- Dispose of client information stored in electronic or paper form in such a manner (e.g., through the use of a shredder or shredder service) to reasonably ensure such information is protected from unauthorized access.
- Engage a third-party service provider only after we have entered into a contractual agreement that prohibits the service provider from disclosing or using confidential personal information except as necessary to carry out its assigned responsibilities and only for that purpose.
- Have implemented the use of procedures and systems that will keep all confidential WAI and client information protected from unauthorized viewing and access by persons or entities that are not affiliated with or associated with WAI.

***Third-Parties and Third-Party Service Providers to Whom We May Disclose Information***

WAI may need to share personal information to run our everyday business. The following are reasons that we may share your personal information:

- For everyday business purposes – such as to process your transactions and maintain your account(s);
- To assist us in complying with our legal and regulatory responsibilities;
- To respond to court orders and legal investigations, or report to credit bureaus;
- To comply with federal and state laws and regulations.

We will not disclose nonpublic personal information about a client to a non-affiliated third-party other than as described in this policy stated above or as permitted by Regulation S-P unless:

- We have provided the client with a revised notice describing the new policy;
- We have provided the client with an "opt-out" notice; and
- We have provided the client a reasonable opportunity to opt-out of the disclosure before WAI discloses the information to the non-affiliated third party.

WAI is not required to send privacy notices or provide opt-out elections to clients unless we intend to share the client's nonpublic personal information with a non-affiliated third party outside of policy stated above.

***Client Notifications***

We are required by law to annually provide a notice describing our privacy policy. In addition, we will inform you promptly if there are changes to our policy. Please do not hesitate to contact us with questions about this notice by calling Kellie Masters at 515-219-4835 or e-mail at: [kmasters@waiowa.com](mailto:kmasters@waiowa.com).