

# Marquette Asset Management, LLC d/b/a Marquette Wealth Management

PRIVACY NOTICE

March 2024

## OUR PROMISE TO YOU

As a client or prospective client of Marquette Wealth Management, you share both personal and financial information with us. Your privacy is of paramount importance to us, and we are vigilant in safeguarding it. Our Privacy Notice restricts the use of your information and requires that it be held in strict confidence. Federal law requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.

## INFORMATION PROVIDED BY CLIENTS

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

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

We collect such non-public information before you become a client and throughout our relationship. Such information may be contained on tax forms, account statements, deposit slips and checks, questionnaires, and other information you provide to us.

## EMAIL COMMUNICATIONS

To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include electronic and procedural safeguards as well as secured paper files and office space. We will not send non-public personal information by unencrypted email. We may send non-public personal information to you or your approved representatives by encrypted email.

## HOW WE MANAGE AND PROTECT YOUR PERSONAL AND FINANCIAL INFORMATION

We will not disclose your personal or financial information to third parties unless:

- Requested to do so by you or your authorized representative.
- Required/permitted by law to meet regulatory requirements, audit requirements, and court orders; or
- Required to analyze information, process transactions, and maintain and service your account(s). Where this is necessary, our contractual arrangements with third party service providers require them to treat your information as confidential.

We do not sell information about prospective, current, or former clients to third parties.

## WEBSITE POLICIES

Policies related to our website ([www.marquettewm.com](http://www.marquettewm.com)) are outlined in our Website Privacy Policy



immediately below this Notice.

### **OPT-OUT ELECTION FOR NON-ESSENTIAL ACTIVITIES**

We may provide your name and address to third-party service providers to facilitate such non-essential activities as sending gifts and other acknowledgements. These providers are required to treat your information as confidential; however, if you do not wish for us to provide your information to such providers, you may “opt out.” Your information will be promptly removed from those databases. If you and another party are joint account holders, we will honor your separate requests to opt out. To do so, please contact us as described below to discuss how we can best honor such a request.

### **HOW TO OPT-OUT**

If you do not wish to allow Marquette Wealth Management to provide your name and address to third parties that provide non-essential services to us, please reach out to your Relationship Manager, call us at 612-661-3770, or email us at [info@marquettewm.com](mailto:info@marquettewm.com).

### **CLIENT NOTIFICATION**

We are required by law to provide a notice describing our privacy policy annually.

In addition, we will inform you promptly if there are changes to our policy.

Please do not hesitate to contact us at 612-661-3770 or [info@marquettewm.com](mailto:info@marquettewm.com) with question about this notice.



# Marquette Asset Management, LLC d/b/a Marquette Wealth Management

## WEBSITE PRIVACY NOTICE

March 2024

Marquette Wealth Management values its users' privacy. This Website Privacy Notice will help you understand how we collect and use personal information from those who visit our website or make use of our website's facilities and services, and what we will and will not do with the information we collect. Our Privacy Notice has been designed and created to ensure visitors of our website receive our commitment to privacy. We reserve the right to make changes to this Policy at any time.

This Policy applies to Marquette Wealth Management, and it governs all data collection and usage by us. Through the use of [www.marquettewm.com](http://www.marquettewm.com), you are consenting to the data collection procedures expressed in this Privacy Notice.

Please note that this Privacy Notice does not govern the collection and use of information by companies that Marquette Wealth Management does not control, nor by individuals not employed or managed by us. If you visit a website that we mention or link to, be sure to review its privacy notice before providing the site with information. It is highly recommended and suggested that you review the privacy notices and statements of any website you choose to use or frequent to better understand the way in which websites garner, make use of and share the information collected.

Specifically, this Policy will inform you of the following:

1. What personally identifiable information is collected from you through our website.
2. Why we collect personally identifiable information and the legal basis for such collection.
3. How we use the collected information and with whom it may be shared.
4. What choices are available to you regarding the use of your data; and
5. The security procedures in place to protect the misuse of your information.

### INFORMATION WE COLLECT

This website collects various types of information, such as:

- information automatically collected when visiting our website, which may include cookies, third party tracking technologies and server logs.
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Other than your name, we do not require you to disclose personally identifiable information on our website. We may collect non-personal anonymous demographic information, such as age, gender, household income, investable assets, as well as your email address and the type of browser you are using, IP address, or type of operating system, which will assist us in providing and maintaining superior quality service.

### WHY WE COLLECT INFORMATION AND FOR HOW LONG

We collect your data for several reasons:

1. To better understand your needs and provide you with the services you have requested.
2. To fulfill our legitimate interest in improving our services and products; and
3. To customize our website according to your browsing behavior and personal preferences.

The data we collect from you will be stored for no longer than necessary. The length of time we retain said information will be determined based upon the following criteria: the length of time your personal information remains relevant; any retention periods prescribed by law or recommended by regulators, professional bodies, or associations; the type of contract we have with you, the existence of your consent, and our legitimate interest in keeping such information as stated in this Privacy Notice.

### **USE OF INFORMATION COLLECTED**

Marquette Wealth Management does not now, nor will it in the future, sell, rent, or lease any of its client lists and/or names to any third parties.

Marquette Wealth Management may collect and use personal information to assist in the operation of our website and to ensure delivery of the services you need and request. At times, we may find it necessary to use your email address as a means to keep you informed of other possible products and/or services that may be available to you from [www.marquettewm.com](http://www.marquettewm.com). Marquette Wealth Management may communicate with you via email or may send newsletters and general information regarding current or potential future services.

### **DISCLOSURE OF INFORMATION**

Marquette Wealth Management may not use or disclose the information provided by you except under the following circumstances:

1. As necessary to provide services or products you have ordered.
2. In other ways described in this Privacy Notice or to which you have otherwise consented.
3. In the aggregate with other information in such a way so that your identity cannot reasonably be determined.
4. As required by law, or in response to a subpoena or search warrant.
5. To third parties who have agreed in writing to keep the information confidential.
6. As necessary to maintain, safeguard and preserve all the rights and property of Marquette Wealth Management.

### **NON-MARKETING PURPOSES**

Marquette Wealth Management greatly respects your privacy. We maintain and reserve the right to contact you if needed for non-marketing purposes (e.g., security breaches, account issues, and/or changes in Marquette Wealth Management products and services). In certain circumstances, we may use our website, newspapers, or other public means to post a notice.

### **UNSUBSCRIBE OR OPT-OUT**

All users and visitors to our website have the option to discontinue receiving communications from us by way of email or newsletters. To discontinue or unsubscribe from these communications please call us at 612-661-3770 or email us at [info@marquettewm.com](mailto:info@marquettewm.com).

If you wish to unsubscribe or opt-out from any third-party websites, you must go to that specific website to unsubscribe or opt-out. Marquette Wealth Management will continue to adhere to the Privacy Notice with respect to any personal information previously collected.



### **LINKS TO OTHER WEBSITES**

Our website contains links to other websites. Marquette Wealth Management does not claim nor accept responsibility for any privacy notices, policies, practices and/or procedures of other such websites. Therefore, we encourage visitors to be aware when they leave our website, and to read the privacy statements of every website that collects personally identifiable information. This Privacy Notice applies only and solely to the information collected by our website.

### **ACCEPTANCE OF TERMS**

By using this website, you are hereby accepting the terms and conditions stipulated within this Notice. If you are not in agreement with our terms and conditions, then you should refrain from further use of our site. In addition, your continued use of our website following the posting of any updates or changes to our terms and conditions shall mean that you agree to and accept such changes.

### **HOW TO CONTACT US**

If you have any questions or concerns regarding this Notice related to our website, please feel free to call us at 612-661-3770, email us at [info@marquettewm.com](mailto:info@marquettewm.com), or mail us at 150 South Fifth Street, Suite 2800, Minneapolis, MN 55402.