



BOGART WEALTH, LLC
PRIVACY NOTICE

Bogart Wealth, LLC (“Bogart Wealth”) maintains physical, electronic, and procedural safeguards that comply with federal standards to protect its clients’ nonpublic personal information (“information”). Through this policy and its underlying procedures, Bogart Wealth attempts to secure the confidentiality of customer records and information and protect against anticipated threats or hazards to the security or integrity of customer records and information.

Bogart Wealth collects information about clients from the following sources, but not limited to the following sources, in connection with providing services: (1) personal information received from clients, whether in person, in writing, by telephone or otherwise, (2) personal information from transactions, (3) websites, educational platforms and portals and (4) personal information from third-parties such as accountants, legal counsel, financial advisors, insurance agents, banking institutions, and brokerage firms.

The personal information is used for, but not limited to, the following purposes: (1) monitor, audit, evaluate and otherwise administer Bogart Wealth services, (2) provide clients with access to protected areas of Bogart Wealth’s website, (3) provide continuous service to clients and to conduct business processing functions including by providing personal information to our contractors, service providers, or other third parties, (4) assist with the administrative, marketing (including direct marketing), planning, or service development, quality control or research purposes of Bogart Wealth and its contractors and service providers, (5) communicate with you and respond to your inquiries, (6) protect against, identify and prevent fraud, copyright infringement, unauthorized use and distribution of protected content and other unlawful activity, claims and liabilities, (7) perform data analyses (such as market and customer research), (8) conduct investigations and comply with and enforce applicable legal requirements, relevant industry standards, contractual obligations and our policies and terms, or (9) for other purposes required or authorized by law, including other purposes for which clients have provided consent.

It is the policy of Bogart Wealth to restrict access to and/or the sharing of all current and former clients’ information (i.e., information and records pertaining to personal background [including social security number and address], investment objectives, financial situation, financial planning issues, tax information/returns, investment holdings, account numbers, account balances, etc.) to those employees and

affiliated/nonaffiliated entities who need to know that information in furtherance of the client's engagement of Bogart Wealth.

Bogart Wealth does not sell non-public personal information. Bogart Wealth shall disclose, as necessary, the client's information: (1) to unaffiliated service providers and vendors in furtherance of establishing, maintaining, and reporting on the client's Bogart Wealth relationship (i.e., broker-dealer, account custodian, record keeper, technology, performance reporting, customer relationship management software [CRM], proxy voting, insurance, independent managers, sub-advisers, etc.); (2) required to do so by judicial or regulatory process; or (3) otherwise permitted to do so in accordance with applicable federal and/or state privacy regulations.

However, Bogart Wealth does not, and shall not, disclose or share information with any affiliated or unaffiliated persons, entities or service providers for marketing or any other purposes or reasons not referenced above. To the extent U.S. Federal laws apply to client's personal information, clients have the right to limit (1) sharing for affiliates' everyday business purposes—information about their creditworthiness, (2) affiliates from using their information to market to them, and (3) sharing for nonaffiliates to market to them. U.S. state laws and individual companies may give clients additional rights to limit sharing. To the extent permitted by the applicable laws of the jurisdiction, clients may request: (1) to have client's personal information corrected, for example, if it is incomplete or incorrect, (2) to opt out of receiving marketing communications at any time or (3) the right to file a complaint with an applicable government regulator such as a Data Protection Authority.

Bogart Wealth may transfer clients' personal information obtained to recipients in countries other than the country in which the information originally was collected. Those countries may not have the same data protection laws as the country in which client's initially provided the information. To the extent required by applicable law, when Bogart Wealth transfers client's information to recipients in other countries (such as the United Kingdom, Ireland or Cayman Islands), Bogart Wealth will protect that information as described in this Privacy Notice.

Artificial Intelligence Notice: Bogart Wealth may use artificial intelligence tools, including tools that incorporate AI, in order to provide services to its clients. For example, Bogart Wealth may use notetaking tools during client meetings to support its client service and regulatory obligations, including documenting discussions, identifying follow-up actions, and preparing meeting summaries. These notetaking tools use large language models (LLMs), a form of generative AI technology, to convert raw meeting content into structured outputs such as notes, action items, and draft communications. Bogart Wealth obtains client consent before using any notetaking tools during meetings. With respect to information security, these

artificial intelligence tools adhere to SOC 2 standards and employ modern security measures, including end-to-end encryption for data both in transit and at rest, as well as multi-factor authentication. In addition, the tools undergo regular security reviews, including SOC 2 Type II audits, independent third-party penetration testing, and ongoing software updates to maintain security and reliability. Bogart Wealth does not input any client personal information into open artificial intelligence tools.

Cookie Notice: Bogart Wealth uses cookies and similar technologies to support website functionality, measure and improve performance and deliver marketing and advertising campaigns. When clients visit Bogart Wealth's website, Bogart Wealth may collect information about, but not limited to, device information, website usage information, and form submissions. Bogart Wealth may use third-party service providers and advertising platforms to support website analytics, audience measurement and marketing and advertising campaign deliveries. Clients can control cookies through their browser controls. However, blocking or deleting some cookies may affect website functionality.

Bogart Wealth will endeavor to ensure clients' personal information is kept accurate, complete, up to date, and relevant. Clients should notify Bogart Wealth if any information changes. If personal information is not accurate, complete, or up to date, please notify Bogart Wealth and it will take reasonable steps to ensure it is corrected. This Privacy Notice may change from time to time. Such changes shall be effective immediately upon notice. This Privacy Notice is for general guidance and does not constitute a contract or create legal rights and does not modify or amend any agreement Bogart Wealth has with clients.

ANY QUESTIONS OR CONCERNS: Should you have any questions regarding the above, please contact Suzanne E. Kellogg, Chief Compliance Officer.