

AI Insight Privacy Policy

We respect your privacy and value the trust you place in us when you share your personal information. The way we may use your personal information is discussed in this privacy policy.

General disclosure and information sharing policies of specific content from the AI Insight platform are highlighted in italics on the *Home* tab within each user login. Customizable disclosure elections can be made throughout the administrative login account and within the *Edit Profile* tab for financial advisors and *Profile & Summary/Associate Profile* for sponsor associates.

What information do we collect

The information we may collect includes, but is not limited to:

- name and job title;
- contact information including email address;
- broker CRD number (Central Registration Depository) and last four digits of SSN to facilitate filing of earned Continuing Education Credits (CE) with applicable CE Associations;
- demographic information such as ZIP code™, preferences, interests and/or type of services and strategies provided to clients;
- historic industry experience and
- any other information provided directly by a subscribing firm and/or their firm associates.

What we do with the information we gather?

We require this information to facilitate consolidated reporting for each subscribing firm, submitting earned CE credits to the applicable CE Credit Association and encouraging greater efficiencies in communication and support between Broker Dealer and Sponsor subscribing firms.

We may also use this information for the following purposes:

- Internal record keeping;
- Subscriber communications periodically sent regarding informational updates such as new enhancements, regulatory updates, training opportunities and new subscribers.
 - Subscribers may opt out of receiving updates and/or notifications by updating their profile page and/or selecting "unsubscribe" link on the AI Insight Newsletter email;
- Sales support purposes in accordance with subscriber firm and individual disclosure elections controlled within each individual AI Insight account.

Controlling your personal information

Sharing of the information provided by each user of the system can be controlled directly by the individual user through their individual account or by the supervising firm through the firm's Administrative account within AI Insight.

Third party website links

Our website may contain links to other websites of related interest. We do not have any control over the security or content of any website other than our own. Therefore, we are not responsible for the protection and privacy of any information which you provide while visiting such sites and such sites

are not governed by this privacy statement. You should exercise caution and review the privacy statement applicable to the respective website(s).

Personal Profiles

Each subscriber has the option of creating personal profiles for individual users associated with that subscriber. Each individual personal profile contains personal information about that individual such as name, address, job title, contact information, and professional credentials. Each subscriber may use its administrative profile to control access to the personal profiles of the individuals associated with it. If a subscriber authorizes other subscribers to access its associated personal profiles, then AI Insight will allow such access. A subscriber may elect to allow an individual user to decide whether to authorize access to that user's personal profile by other subscribers, in which case AI Insight will allow other subscribers to access that individual's profile only if so authorized by the individual. A subscriber does not have the option of allowing any other party to access its associated personal profiles through AI Insight unless that other party is also a current AI Insight subscriber. The information in these personal profiles may be disclosed to employees and contractors of AI Insight who need to access this information for purposes of providing administrative or technical services for AI Insight. Any such contractor will be subject to an agreement prohibiting disclosure of such information to third parties. AI Insight will not allow any other non-subscriber to access such personal profiles. Additionally, AI Insight maintains physical, electronic and procedural safeguards to secure such personal information.

Your consent

By using this site you consent to our privacy policy and the AI Insight Terms of Use. Whenever you submit information via this site, you consent to the collection, use and disclosure of that information in accordance with this Privacy Policy.

You understand that we may monitor, edit or disclose your personal information but only if required to do so in order to comply with any valid legal process or governmental request (to include, not by way of limitation, a search warrant, subpoena, statute, or court order), or as otherwise provided in the Terms of Service and this Privacy Policy.

Changes to our Privacy Policy

AI Insight may change this policy from time to time by updating this page and will communicate any changes to current subscribers.

Contacting us

If there are any questions regarding this privacy policy you may contact us using the following information:

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877.794.9448
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