



Fortress Estate
Solutions, PLLC

“Prosperity With Security”

Registered Investment Advisor

Privacy Policy Disclosure Notice

Revised June 28, 2022

We at Fortress Estate Solutions, PLLC (“FES”) respect your privacy. We are committed to maintaining the privacy and security of your personal and financial information. We adhere to confidentiality standards designed to protect your privacy. Our Privacy Policy applies to both past and current clients of FES.

We do not sell your personal information to anyone:

- Federal Law has established guidelines, requiring this advance notice to customers. The advance notice allows the customer to “opt out” of disclosing certain information to third parties.
- FES does not disclose non-public personal information to third parties which would trigger this right to “opt out”, so in effect our customers are automatically opted out.

We collect your non-public personal information from the following sources:

- Information you have given us, such as investment advisory agreements, brokerage account applications and other documents you completed while opening and maintaining your accounts with us. This data is known as non-public personal information (e.g., name, address, telephone #, assets, income, credit reports/scores, driver’s license and tax ID numbers, etc.).
- Information you have given us orally.
- Information FES receives from third parties, such as brokerage firms, outside managers and banks, about your transactions with us or with others.

We only share non-public personal information, in accordance with federal law, under the following circumstances:

- When FES is required to execute transactions for your account or otherwise to provide services you request.
- We may share information with affiliated or interested parties for the intended purpose only, including outside compliance consultants and those that help us conduct our business, such as IT professionals, after we have entered into contracts with these companies that include a confidentiality clause (or obtain a separate executed Confidentiality Agreement) which prohibits them from using the information provided for their own purposes and requires them to keep the information confidential.
- When you have specifically authorized and directed us to do so.
- Where we believe in good faith the disclosure is required or permitted by law; such as pursuant to a request for information from the Federal Bureau of Investigation (FBI), the Internal Revenue Service (IRS), the Securities and Exchange Commission (SEC); or other parties under Court Order or Subpoena.
- When FES’s books and records are examined by federal or state regulators.

Confidentiality and Security:

- We restrict access to non-public personal information about you only on a “need-to-know” basis to those employees or service providers that provide products or services to you or FES. We maintain strict physical, electronic and procedural safeguards that comply with federal standards to guard your non-public personal information.
- We keep all personal information about customers in locked storage and provide secure removal of unusable documents containing customer non-public information by shredding the documents.
- All mail is received in a USPS approved stand-alone keyed lock box kiosk located on the building property. Only authorized personnel may collect and distribute incoming mail.

If you have any questions related to privacy issues, please contact us at (972) 325-1700. FES reserves the right to change these policies at any time, at which time you will be promptly notified.

I/We hereby acknowledge receipt of this Privacy Policy Disclosure Notice.

_____	_____	_____
Printed Name	Signature	Date

_____	_____	_____
Printed Name (<i>Joint Account Owner</i>)	Signature	Date

Received and Acknowledged for FES by:

_____	_____	_____
Printed Name	Signature	Date