



Privacy Policy for Uplevel Wealth

As of April 20, 2026

Uplevel Wealth LLC (“Uplevel Wealth”) recognizes that our relationships with current and prospective clients are based on integrity and trust. We are committed to safeguarding the privacy of your nonpublic personal information and preserving the confidential nature of our relationship with you.

We place the highest value on the information you share with us. Uplevel Wealth does not disclose your personal information to unaffiliated third parties except as permitted by law, as necessary to provide services to you, or at your direction. We do not sell your personal information.

We provide this Privacy Policy to clients at the time of engagement and annually thereafter, as required by applicable law. The privacy protections described herein apply to prospective, current, and former clients.

This Privacy Policy describes the information we collect, how we use and protect that information, and how we share it in accordance with applicable laws and regulations, including Regulation S-P.

Why We Collect Your Information

We collect and maintain personal information about you in order to:

- Provide investment advisory and financial planning services;
- Establish and maintain your accounts;
- Process transactions and manage portfolios;
- Communicate with you about your accounts and services; and
- Comply with federal and state laws and regulations applicable to our business.

What Information We Collect and Maintain

We may collect the following types of nonpublic personal information about you:

- Identifying Information, such as your name, address, telephone number, email address, date of birth, Social Security number, employment information, and other information that allows us to identify you.
- Financial Information, such as your income, assets, liabilities, net worth, investment objectives, and risk tolerance.
- Transactional Information, such as account balances, investment activity, and account history.

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- Information from Third Parties, such as information received from custodians, broker-dealers, financial institutions, tax professionals, attorneys, and documents such as tax returns, trusts, or powers of attorney.

We collect this information directly from you, through your transactions with us or our service providers, and from third parties as necessary to provide our services.

What Information We Disclose

We may disclose the nonpublic personal information described above to unaffiliated third parties as permitted by law, including:

- Custodians, broker-dealers, and other financial institutions;
- Sub-advisers or investment managers engaged to assist in managing client portfolios;
- Service providers, including technology vendors, administrative support providers, and compliance consultants;
- Attorneys, accountants, and auditors;
- Regulators or governmental authorities as required by law;
- Successors in the event of a merger, acquisition, or sale of all or part of our business; and
- Other third parties at your direction or with your consent.

These disclosures are generally made under exceptions permitted by law to enable us to service your accounts. Because such disclosures are necessary to provide our services, clients are not permitted to opt out of these types of disclosures.

Uplevel Wealth does not share nonpublic personal information with affiliated companies, as we do not have any affiliates. We do not engage in joint marketing arrangements with nonaffiliated financial institutions.

All third-party service providers with whom we share information are required to maintain the confidentiality of such information and to use it only for the purposes for which it was provided.

How We Protect Your Personal Information

Protecting your personal information is a top priority. We maintain administrative, technical, and physical safeguards designed to protect your nonpublic personal information against unauthorized access, use, or disclosure.

These safeguards include, but are not limited to:

- Restricting access to personal information to employees and service providers who need it to perform their job responsibilities;

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- Implementing access controls, authentication procedures, and other technical security measures;
- Utilizing secure systems, encryption, and protected communication channels where appropriate;
- Providing training to employees and independent contractors regarding data privacy and information security;
- Requiring employees and applicable contractors to acknowledge and adhere to our privacy and information security policies; and
- Conducting due diligence and ongoing oversight of third-party service providers to help ensure they maintain appropriate safeguards.

Service Provider Oversight

We engage third-party service providers to support our operations. Prior to engagement, we conduct due diligence designed to evaluate the provider's ability to safeguard client information. We also require such providers to enter into agreements that include confidentiality and data protection obligations, and we monitor these relationships as appropriate.

We may utilize third-party technologies, including data processing and analytical tools, to support our operations and deliver services to clients. We evaluate such providers to help ensure they maintain appropriate confidentiality, data protection, and information security standards, and we do not permit the use of client information for purposes inconsistent with providing services to Uplevel Wealth and its clients.

Data Retention and Disposal

We retain your personal information for as long as necessary to fulfill the purposes for which it was collected, including to satisfy legal, regulatory, and recordkeeping requirements.

When personal information is outside our retention period and no longer required, we take reasonable steps to securely dispose of it, including through secure destruction or deletion, to prevent unauthorized access or use.

Cybersecurity and Incident Response

Uplevel Wealth maintains policies and procedures designed to detect, respond to, and recover from cybersecurity incidents. In the event of a breach involving your personal information, we will take appropriate steps to contain and remediate the incident and will provide notifications as required by applicable law.



Changes to This Privacy Policy

We may update this Privacy Policy from time to time to reflect changes in our practices or applicable laws and regulations. When we do so, we will provide clients with an updated notice as required by law.

Questions

If you have any questions about this Privacy Policy or how we handle your personal information, please contact us.

Uplevel Wealth LLC