FIERCE
FINANCIAL GROUP LLC

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Privacy Policy

As of 01/14/2026

Privacy Policy Overview:

Fierce Financial Group LLC ("FFG," "we," "us") is committed to protecting the privacy of prospective, current, and former clients. We maintain administrative, technical, and physical safeguards designed to protect non-public personal information in accordance with Regulation S-P under the U.S. Federal securities laws and other applicable privacy and data-security requirements. **We do not sell client information.**

We provide this Privacy Policy when you enter into an advisory agreement with us and annually thereafter, or when we make material changes/updates to this policy.

Why FFG Collects Client Information:

- Open and service accounts; verify identity (KYC/AML) and eligibility;
- Design, implement, and manage customized investment strategies;
- Communicate with you; process billing and reporting;
- Comply with legal, regulatory, and risk-management obligations; and
- Prevent fraud, security incidents, abuse, and misuse.

We may collect the following information:

- Identifiers & contact details: name, address, email, phone, date of birth, government ID numbers (e.g., SSN/ITIN), nationality/citizenship.
- KYC/AML documentation: passports/IDs for beneficial owners, directors, and authorized signers.
- Financial & account information: account applications, account numbers, custodial details, holdings, transactions, positions, tax information, beneficiaries.
- Professional information: employment and affiliation details.
- Other information you provide to us as part of onboarding or ongoing servicing.

Sources of Information:

We obtain information directly from you (account applications, advisory agreements, communications, documents you upload); From transactions and interactions with us and our service providers; From the custodian (Charles Schwab & Co., Inc.) and other third-party providers you authorize; From public records and identity verification providers.

How We Share Information:

We may share non-public personal information as permitted by law and as necessary to provide advisory services, including: Custodians (e.g., Charles Schwab & Co., Inc.) to open and service accounts; Service providers and vendors (e.g., cloud storage, data processing, e-signature, disaster recovery) under contracts requiring confidentiality and safeguarding; Professional advisors (e.g., auditors, lawyers, accountants) and regulators/authorities where required; Your authorized representatives per your instructions.

Since we do not share non-public personal information with non-affiliated third parties for their own marketing purposes, clients do not have an opt-out right under Regulation S-P.

Security Measures:

We treat client privacy and security as a priority. Measures include role-based access, encryption in transit and at rest (where applicable), multi-factor authentication, secure cloud storage, and periodic review of vendor safeguards. We use secure file-transfer or encrypted e-signature platforms (e.g., DocuSign/secure portal). Requests to move funds always require verbal confirmation; we do not accept text, email, or voicemail instructions for fund transfers.

For online access and cybersecurity questions relating to your custodial accounts, please consult your custodian (Charles Schwab: +1 (877) 519-1403)

International Clients & Cross-Border Transfers:

If you reside outside of the United States or provide information relating to non-U.S. entities or persons, you understand that your information may be transferred to, stored, and processed in the United States or other jurisdictions with different data-protection laws.

Incident Response:

We maintain procedures to investigate and respond to suspected data breach incidents. When required by law, we will notify affected clients and alert relevant authorities.

We may update this Privacy Policy from time to time. We will provide notice of material changes as required and will deliver the updated policy annually.

How to Contact Us:

Phone: +1 305 799 8555

Email: chris@fiercefinancialgroup.com or alex@fiercefinancialgroup.com

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