G. ALLEN FINANCIAL

PRIVACY POLICY

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February 2026

1. Introduction

G. Allen Financial, Inc ("Firm," "we," "our," or "us") is committed to protecting the confidentiality, integrity, and security of the personal information entrusted to us. We maintain physical, electronic, and procedural safeguards designed to comply with applicable federal and state laws and regulations governing registered investment advisers.

This Privacy Policy describes how we collect, use, share, protect, and retain your nonpublic personal information.

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2. Information We Collect

The categories of nonpublic personal information we collect depend on the scope of our engagement and services provided. This may include:

A. Information You Provide Directly

- Identifying information (name, address, date of birth, Social Security number)
- Contact information (email address, phone number)
- Employment and income information
- Financial account information and transaction history
- Investment objectives and risk tolerance
- Insurance and estate planning information
- Health-related information where necessary for financial planning purposes
- Information provided on applications, questionnaires, or other forms

B. Information from Third Parties

- Custodians and brokerage firms
- Financial institutions
- Accountants, attorneys, insurance professionals (with your authorization)
- Credit reporting agencies (when applicable)
- Regulatory authorities

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3. How We Use Your Information

We use your information to:

- Provide investment advisory and financial planning services
- Execute securities transactions through custodians or brokerage firms
- Maintain and service your accounts
- Communicate with you regarding your accounts and financial plans
- Comply with legal, regulatory, and recordkeeping obligations
- Prevent fraud and enhance cybersecurity protections
- Improve our services and client experience

We do not sell your personal information.

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4. How We Share Information

We do not disclose nonpublic personal information about current or former clients to nonaffiliated third parties except:

A. When Required or Permitted by Law

Including, but not limited to:

- Regulatory examinations (e.g., SEC, state regulators)
- Court orders or subpoenas
- Anti-money laundering compliance
- Fraud prevention and risk management

B. Service Providers

We may share information with nonaffiliated third-party service providers that assist us in operating our business, including:

- Custodians and broker-dealers
- Technology providers
- Portfolio management systems
- Compliance consultants
- Auditors
- Cloud storage providers

These parties are required by contract and/or regulation to maintain the confidentiality and security of your information and may not use it for unrelated purposes.

C. With Your Authorization

We may share information with your accountant, attorney, insurance professional, or other designated representative only with your written consent.

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5. Information Security

We maintain administrative, technical, and physical safeguards designed to protect your personal information from unauthorized access, misuse, alteration, or destruction.

These safeguards include:

- Secure encrypted databases
- SSL encryption for data transmission
- Firewalls and intrusion detection systems
- Multi-factor authentication (where applicable)
- Role-based access controls
- Secure data backup systems
- Vendor risk management procedures
- Employee confidentiality agreements and training

Access to client information is limited to employees and agents who have a legitimate business need to know.

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6. Data Retention

We retain personal information for as long as necessary to fulfill the purposes outlined in this policy, including compliance with federal and state securities laws.

Client records are maintained during the term of the advisory relationship and for a minimum of six (6) years after termination of the Investment Advisory Contract, beginning on December 31 of the year in which the last entry was made, in accordance with applicable securities record retention requirements.

After the required retention period, records are securely destroyed under supervised procedures.

7. Your Privacy Rights

Depending on your state of residence, you may have certain rights under applicable privacy laws, which may include:

- The right to request access to the personal information we maintain about you
- The right to request correction of inaccurate information
- The right to request deletion of certain personal information (subject to regulatory retention requirements)
- The right to request information about how your data is shared

To exercise these rights, please contact us using the information below.

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8. Confidentiality of Former Clients

We maintain the same level of confidentiality and protection for former clients as we do for current clients.

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9. Changes to This Policy

We reserve the right to update or modify this Privacy Policy at any time. If we make material changes, we will provide clients with updated notice as required by law.

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10. Contact Information

If you have questions about this Privacy Policy or our information security practices, please contact us.

Stephen A. Duck, CFP®
President & Director of Wealth Management

Dora L. Guzmán, PhD
Chief Compliance Officer

300 Paseo De Peralta, Suite 209
Santa Fe, NM 87501
(505) 466-3550

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