



ESCARPMENT FINANCIAL GROUP, LLC

Privacy Notice

Version 1.0 Effective Date: June 26, 2026

Escarpment Financial Group, LLC (“Escarpment Financial Group,” “we,” “our,” or “us”) is committed to protecting the privacy and confidentiality of our clients’ personal information. This Privacy Notice describes the information we collect, how we use it, how we protect it, and the limited circumstances under which we may share it.

We recognize that maintaining your trust is fundamental to our fiduciary relationship, and we are committed to safeguarding your personal information in accordance with applicable federal and state law, including Regulation S-P.

Information We Collect

In order to provide financial planning and investment advisory services, we may collect nonpublic personal information about you from sources such as:

- Information you provide directly to us on questionnaires, account applications, financial planning forms, or during meetings and conversations.
- Information regarding your transactions with us, your custodian, or other financial institutions.
- Information received from third parties, including custodians, broker-dealers, retirement plan providers, accountants, attorneys, insurance professionals, and other service providers, when authorized by you.
- Information obtained through our website or secure client portals when voluntarily submitted.

Examples of information we may collect include:

- Name
- Address
- Telephone number
- Email address
- Date of birth
- Social Security or Tax Identification Number
- Financial account information
- Assets, liabilities, income, expenses, and net worth



- Investment objectives
- Risk tolerance
- Employment information
- Beneficiary information

How We Use Your Information

We use your personal information to:

- Provide financial planning services.
- Provide investment advisory services.
- Open and maintain investment accounts.
- Communicate with you regarding your accounts.
- Prepare financial plans and investment recommendations.
- Comply with legal and regulatory obligations.
- Detect and prevent fraud or unauthorized activity.
- Improve the quality of our services.

We do not sell or rent your personal information.

Information We May Share

We do not disclose nonpublic personal information about our clients except as permitted or required by law.

Examples include sharing information with:

- Your custodian.
- Independent service providers that assist us in operating our business.
- Accountants, attorneys, or other professionals at your direction.
- Regulatory agencies, courts, or law enforcement when required by law.
- Successors in connection with a merger, acquisition, or sale of our advisory business, subject to applicable legal protections.

We do not share your personal information with unaffiliated companies for their own marketing purposes.

We do not disclose nonpublic personal information to nonaffiliated third parties except as permitted by law or as necessary to provide advisory services requested by our clients.



Service Providers

Certain third-party vendors provide services that help us operate our advisory business. These may include:

- Custodians
- Portfolio management software providers
- Financial planning software providers
- Secure document storage providers
- Technology and cybersecurity vendors
- Compliance consultants

These service providers are contractually or legally required to maintain the confidentiality and security of your information and may use it only to provide services on our behalf.

How We Protect Your Information

We maintain physical, electronic, and procedural safeguards designed to protect your personal information.

These safeguards include:

- Secure computer systems
- Password-protected devices
- Encryption where appropriate
- Secure document storage
- Limited employee access
- Vendor due diligence
- Ongoing cybersecurity practices

Access to your personal information is limited to individuals who require it to provide services or comply with legal obligations.

We periodically review and update our administrative, technical, and physical safeguards in response to changes in technology, cybersecurity risks, and applicable regulatory requirements.

We may verify your identity before acting upon certain requests involving account changes, transfers, or other transactions to help protect your information and assets.



Retention and Disposal of Information

We retain client information only as long as necessary to provide advisory services, comply with legal and regulatory requirements, and maintain required business records. When information is no longer required, it is securely destroyed or disposed of using methods designed to protect against unauthorized access.

Former Clients

Our commitment to protecting your privacy continues even after our advisory relationship ends.

We continue to protect former clients' nonpublic personal information in accordance with this Privacy Notice and applicable law.

Your Responsibility

You can help protect your information by:

- Not sharing account credentials.
 - Promptly notifying us of changes to your contact information.
 - Monitoring account statements from your custodian.
 - Reporting suspicious activity immediately.
-

Questions

If you have questions regarding this Privacy Notice or our privacy practices, please contact:

Escarpment Financial Group, LLC

10313 Van Winkle Ct.

Austin, Texas 78739

(512) 917-3937

Compliance@escarpmentfg.com

www.escarpmentfg.com



Annual Notice

We will provide this Privacy Notice to clients at the commencement of our advisory relationship and thereafter as required by applicable law. If our privacy practices change in a manner that requires notice, we will provide an updated Privacy Notice.