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Privacy Policy

Protecting your privacy online is fundamental to the way AMES Financial Solutions, LLC conducts business. By visiting amesfinancialsolutions.com, you are consenting to our Privacy Policy. Protecting your privacy is key to our relationship with you. This Privacy Notice explains the types of information we collect from our individual clients in order to provide investment advisory, financial planning, and insurance products and services (“Services”); how we may use or disclose that information; and the measures we take to safeguard that information. (AMES Financial is referred to as “we,” “our,” or “us,” and individual clients of AMES Financial are referred to as “you” or “your”).

What Information Do We Collect?

We collect non-public personally identifiable information about you as described in this section to provide our Services. We refer to all of this information as “Client Information.”

- Client Information from you: We may collect your name, address, email address, phone number, social security number, family and marital status, investment objectives,

financial goals, risk tolerance, and information about your income, assets, investments, liabilities, expenses and personal financial transactions.

- Client Information from other sources: For investment advisory and financial planning services, we may collect trading and transaction history for your investment advisory account, and statements or records we receive from investment firms, tax preparations firms, and other professionals that you have retained and authorized to provide information directly to us.

How Do We Use and Disclose Client Information?

We use Client Information to:

- Provide and service our products and services
- Provide advice and information to help you meet your financial objectives, including information about other products and services that may be of interest

In order to provide our Services, we may disclose Client Information to non-affiliated companies that perform services for us (“service providers”), such as companies that provide transaction processing, or performance reports and statements of account for assets under management. We require all service providers to have written contracts with us that specify appropriate uses of Client Information.

We may also disclose Client Information to non-affiliated third parties for other purposes required or permitted by law or regulation. Such necessary disclosures may include:

- To comply with a court order, legal process, or other judicial or investigative proceeding that produces a request for information from us;
- To permit auditing of account information;
- To fulfill or respond to a request from you or your authorized representative;
- To sell or transfer our business or assets; and
- As otherwise described in this Privacy Notice

How Your Information is Safeguarded

We have procedures in place that we believe are reasonably designed to protect the security and confidentiality of your information. These include confidentiality agreements with companies we hire to help us provide services to you, password-protected user access to our computer files and strict confidentiality policies that apply to all AMES Financial Solutions, LLC personnel. All personnel are bound by codes of professional conduct, to protect the confidentiality of Client Information, and to prevent unauthorized use, access to, or disclosure of Client Information.

This Privacy Notice applies to individual clients of financial planning and investment advisory services provided by AMES Financial Solutions, LLC, an Investment Advisor registered with the State of Florida.