Privacy Policy

Revision date: September 23, 2026

Olympus Peaks Financial, LLC ("OPFL," "we," "our," or "us") respects the confidentiality of personal information. Federal law requires us to explain how we collect, share, and protect nonpublic personal information and gives individuals the right to limit certain sharing. This notice describes our practices for prospective, current, and former clients. Custodians and other independent financial institutions provide their own privacy notices.

I. Nonpublic personal information we collect

The information depends on your relationship and services. It may include your name, address, email, telephone number, date of birth, Social Security or tax-identification number, and information from identification documents; financial account numbers and balances, assets, income, liabilities, tax information, transactions, and payment instructions; and investment objectives, risk tolerance, liquidity needs, employment, family, beneficiary, trust, or other authorized-representative information.

We also maintain advisory correspondence, applications, questionnaires, agreements, meeting notes, service requests, and communication preferences. Business telephone systems may process call details and voicemail. Recordings, transcripts, and assisted notes are created only when the relevant features are enabled with appropriate notice and consent. Approved websites, portals, and communications systems may collect basic device, access, and security-log information needed to operate and protect those services.

II. How we obtain and use information

We obtain information from you through discussions, forms, questionnaires, documents, and approved electronic channels; from custodians, account-service providers, and outside managers in connection with your services; and from representatives or professionals you authorize. We may verify information through lawful public or other authorized sources.

We use information to understand your circumstances, provide advice and account services, carry out authorized transactions, coordinate with custodians and other providers, calculate fees, maintain records, communicate with you, detect fraud, safeguard information, and meet legal and regulatory obligations. We may also use limited contact information to describe our own services, subject to applicable communication and consent requirements.

III. Information sharing at a glance

The table on the next page states our sharing choices. We do not sell or rent client information or provide client lists to others for their independent marketing. Information shared for a permitted purpose is limited to what is reasonably needed for that purpose. We do not begin otherwise restricted marketing sharing simply because you sign an advisory agreement.

> Your choices are separate: privacy choices do not grant investment authority; household billing does not grant access to another person's information; and an email address or mobile number is not consent to every type of communication.

Sharing, recipients & your choices

Reason information may be shared	Do we share?	Can you limit this sharing?
Everyday business: account service, authorized transactions, recordkeeping, fraud prevention, and legal or regulatory obligations.	Yes	Generally no under federal privacy law. Optional authorizations may be withdrawn as described below.
Our own marketing: offering OPFL services, including through restricted service providers.	Yes, limited contact information	No federal sharing opt-out for this purpose; we honor marketing-contact preferences.
Joint marketing with other financial companies.	No	We do not share for this purpose.
Affiliates' own everyday business purposes: transactions and experiences.	No	We do not share for this purpose.
Affiliates' own everyday business purposes: creditworthiness.	No	We do not share for this purpose.
Affiliates using your information to market to you.	No	We do not share for this purpose.
Nonaffiliates marketing to you.	No	We do not share for this purpose.

IV. Recipients and limits on use

Permitted recipients include qualified custodians and brokers, outside investment managers you engage, authorized representatives and professionals, and vendors supporting secure technology, portfolio reporting, billing, recordkeeping, communications, or our own marketing. Examples of information shared are contact and account details, transaction or service instructions, relevant planning information, and communication records. Our own marketing support uses limited contact and service-interest information, not full financial account data or Social Security numbers.

Service providers receive information for authorized services under appropriate confidentiality and security restrictions, not to market their own products to you. We may disclose information to regulators, courts, law enforcement, auditors, counsel, or other recipients when required or permitted by law, including to prevent fraud or protect legal rights. A lawful business transfer may involve disclosures subject to applicable confidentiality, notice, and consent requirements.

V. Your right to limit certain sharing

Federal law permits you to limit certain sharing of creditworthiness information with affiliates, certain affiliates' use of information to market to you, and certain sharing with nonaffiliates for their marketing. We do not engage in those practices under this policy, so no opt-out is needed to stop them. Federal law does not provide an opt-out for all sharing, including qualifying service-provider and joint-marketing exceptions. State law may provide additional protections.

You may contact us to stop our optional marketing contacts, update information, or withdraw a permission you gave for an optional disclosure. Withdrawal applies prospectively and may affect the requested service; it does not prevent legally required disclosures or record retention. If our practices change to require an opt-out or consent, we will provide the required notice and opportunity before that sharing begins.

Safeguards, records & telephone service

VI. Protecting your information

We maintain written administrative, technical, and physical safeguards designed to protect the security and confidentiality of customer information. We restrict access to personnel and providers with an authorized need, maintain safeguards for electronic and physical records, and oversee service providers through due diligence and monitoring. No system can guarantee absolute security. Our use of a vendor does not eliminate our responsibility to safeguard information under applicable law.

Please use our approved secure channels for sensitive documents. Do not send passwords, authentication codes, Social Security numbers, full account numbers, or transaction instructions by ordinary text. Call us using a known business number to verify an unexpected request for information or money. Household grouping for billing does not permit us to disclose one family member's private account information to another without authority or a legal basis.

VII. Retention, disposal, and former clients

We retain information for applicable securities-law recordkeeping, account administration, security, dispute resolution, and other legitimate legal and business purposes. Ending a relationship, declining recording, or opting out of texts does not require immediate deletion of records we must or may lawfully retain. When information is no longer needed and retention obligations and legal holds are satisfied, we dispose of it using reasonable safeguards. We continue to protect and share former clients' information only as described in this notice and as permitted by law.

VIII. Security incidents

We maintain procedures to assess, contain, respond to, and recover from unauthorized access to or use of customer information, including incidents involving service providers. When applicable law requires individual notice, we will provide or arrange written notice with information about the incident, affected information, and steps individuals can take. Under SEC rules, required notice generally must be provided as soon as practicable and no later than 30 days after we become aware that unauthorized access to or use of customer information has occurred or is reasonably likely to have occurred, subject to the rule's limited exceptions. Other applicable notice duties also apply.

IX. RingCentral telephone, recording, and transcription

We use RingCentral for business telephone service. RingCentral and approved communications or recordkeeping providers may process telephone numbers, call details, voicemail, and communications content to provide and support these services. Providers may use approved subcontractors under applicable contractual and legal safeguards. This notice does not represent that all data is stored in the United States or that a vendor never uses service metadata for its own lawful operational purposes.

When recording, transcription, or artificial-intelligence-assisted notes are proposed, we identify the features and obtain required consent from all participants before starting. You may decline or withdraw consent to future recording and request an unrecorded alternative. Our staff review assisted notes; automated processing does not independently make investment decisions for you. A signed advisory agreement or this notice is not a substitute for call-specific consent.

Optional texts, definitions & contact

X. Conditional SMS/MMS program terms

Text messaging is offered only if we establish a provider-approved program eligible for our investment-advisory business. This notice does not announce an active RingCentral SMS program or enroll you in texts. Until we confirm activation, please call, email, or use the secure portal.

If an eligible program is offered and you separately opt in, Olympus Peaks Financial, LLC may send appointment confirmations and reminders, administrative client-service updates, and replies to service questions, including approved automated messages. Message frequency varies. Message and data rates may apply. Consent is voluntary and is not a condition of purchasing goods or services. Providing a number or signing an advisory agreement is not recurring-text consent. Promotional or advertising texts are not authorized by this program.

Reply STOP to opt out or HELP for assistance, or contact (801) 566-3510 or tmaxfield@olympuspeaks.com. We honor other reasonable requests to revoke consent. We may send one nonpromotional opt-out confirmation; further messages require a new valid opt-in. Tell us promptly if your number changes or is reassigned. Messages may be delayed and are not continuously monitored. Do not text trade orders, transfer instructions, formal termination notices, or sensitive identifiers; use the advisory agreement's notice and verification procedures.

We do not sell, rent, or share mobile opt-in information or text-message consent with third parties or affiliates for their own marketing or other independent use. Restricted communications providers and carriers may process mobile numbers, message content, and consent records only to operate, support, or verify the messaging program, or as required by law. SMS consent is not consent to marketing by anyone else.

XI. Definitions

Affiliates are companies related by common ownership or control; they may be financial or nonfinancial. Nonaffiliates are companies not related by common ownership or control. Joint marketing is a formal agreement between nonaffiliated financial companies to market financial products or services together. Nonpublic personal information generally includes personally identifiable financial information that is not publicly available and information derived from it. Defining affiliates does not authorize information sharing with a related business.

XII. Delivery, changes, and questions

We provide this notice when required at the start of a relationship, annually unless a lawful exception applies, and when a revised notice is required. We provide a paper copy without charge on request. A website posting alone does not replace required delivery. We will not rely on an unannounced website change to authorize new sharing that requires prior notice, consent, or an opt-out opportunity.

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