

STONEFIELD

INVESTMENT ADVISORY

Privacy Policy

How We Use and Protect Personal Information

Stonefield Investment Advisory, Inc. and its Broker/Dealer, Cetera Advisors LLC know protecting your privacy is very important. We value your trust and we want you to understand what information we collect, how we protect it, and how we use it. We treat personal information – nonpublic information that identifies you – with respect, and in accordance with this privacy policy.

Information We May Collect

We may obtain information, much of which comes directly from you, to provide you with products and services you have requested and as we deem appropriate, to determine your eligibility for products and services. We may collect identification and contact information, as well as transaction and investment experience information from applications, transactions with others and us, and from outside companies.

Examples of the Sources of Information We May Collect Include:

- Information about the products and services you purchase through us, including copies or applications, registration forms, or other forms, containing your name, address, telephone numbers, social security numbers, email addresses, investment objectives, income, assets, employment information, and accounts with others;
- Information regarding your brokerage and/or investment advisory transaction history with us, our service providers, such as clearing firms, or other companies; and information that other companies who assist us in marketing our own products and services or products we offer jointly with other financial institutions may have, such as your name, address, and telephone number.
- Information under the USA Patriot Act enacted by the United States Treasury Department and Congress to combat terrorism (Investor notification is available upon request).

Information We May Disclose and to Whom

Neither Stonefield nor Cetera Advisors LLC will disclose your personal information to companies or organizations not affiliated with us that would use the information we have provided them to contact you about their own products and services. We may disclose all the personal information we collect, as described above, to companies, such as insurance companies and brokers, banks, broker/dealers and investment advisers that provide services to you on our behalf, in the following types of situations:

- Providing administrative, customer assistance, clearing, operational, and other services;
- Preparing, printing and delivering portfolio management performance reports, confirmation statements, and other documents;
- Executing securities transactions;
- Maintaining or developing software for us; and a financial institution (such as banks, investment advisers, or securities firms) with which we have joint marketing arrangements to jointly endorse or offer financial products or services. Neither Stonefield nor Cetera Advisors LLC will sell your personal and confidential information to unaffiliated third parties.

Disclosures Permitted by Law

We may also disclose all the information we collect as permitted or required by law. For example, we may disclose information to law enforcement agencies or insurance and securities regulatory agencies.

Instructions on How to Notify Us

Questions regarding this policy can be directed to your Investment Advisor Representative at Stonefield Investment Advisory, Inc, 425 Second Street SE, Cedar Rapids, Iowa 52401 or by phoning the Stonefield Chief Compliance Officer at (319)377-7811.