

FACTS

WHAT DOES STRATOS INVESTMENT MANAGEMENT, LLC DO WITH YOUR PERSONAL INFORMATION?

Why?

Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.

What?

The types of personal information we collect and share depend on the product or service you have with us. This information can include:

- Social Security Number and Investment Experience
- Income and Account Transactions
- Assets and Retirement Assets

How?

All financial companies need to share clients' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their clients' personal information; the reason Stratos Investment Management chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does Stratos Investment Management share?	Can you limit this sharing?
For our everyday business purposes: such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
For our marketing purposes: to offer our products and services to you	No	We Don't Share
For our joint marketing with other financial companies	No	We Don't Share
For our affiliates' everyday business purposes: information about your transactions and experiences	Yes	No
For our affiliates' everyday business purposes: information about your creditworthiness	No	We Don't Share
For nonaffiliates to market to you	No	We Don't Share

To limit our sharing

Call 440-210-4900 or Visit us online: www.stratosinvestmentmanagement.com

Please note:

If you are a *new* customer, we can begin sharing your information 0 days from the date we sent this notice. When you are *no longer* our customer, we continue to share your information as described in this notice; however, you can contact us at any time to limit our sharing.

Questions?

Call 440-210-4900 or go to www.stratosinvestmentmanagement.com

Who we are	
Who is providing this notice	Stratos Investment Management, LLC
What we do	
How does Stratos Investment Management protect my personal information?	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.
How does Stratos Investment Management collect my personal information?	We collect your personal information, for example, when you <ul style="list-style-type: none"> • Open an account or tell us about your financial profile • Seek investment advice or complete account paperwork • Enter into an investment advisory relationship
Why can't I limit all sharing?	Federal law gives you the right to limit only <ul style="list-style-type: none"> • Sharing for affiliates' everyday business purposes - information about your creditworthiness • Affiliates from using your information to market to you • Sharing for nonaffiliates to market to you State laws and individual companies may give you additional rights to limit sharing.
What happens when I limit sharing for an account I hold jointly with someone else?	The limited information sharing will apply to all account holders.
Definitions	
Affiliates	Companies related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> • Stratos Investment Management is affiliated with Stratos Wealth Holdings, Stratos Wealth Advisors, and Stratos Wealth Partners, Ltd
Nonaffiliates	Companies not related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> • Stratos Investment Management does not share with nonaffiliates so they can market to you
Joint marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. <ul style="list-style-type: none"> • This may include banks, credit unions, or other financial institutions with which we have a joint marketing agreement