

SUNSTATE WEALTH MANAGEMENT, LLC

Privacy Policy

Effective Date: January 1, 2025

Sunstate Wealth Management, LLC (“Sunstate Wealth,” “we,” “our,” or “us”) is committed to protecting the confidentiality, security, and integrity of the personal information we collect in connection with providing investment advisory services. This Privacy Policy explains how we collect, use, protect, and share nonpublic personal information (“NPI”) about our clients and website visitors, in accordance with Regulation S-P, the Investment Advisers Act of 1940, and applicable privacy laws.

1. Information We Collect

We may collect the following types of information:

Information You Provide

- Personal identifiers (name, address, date of birth, Social Security number, tax ID)
- Contact information (phone number, email address)
- Financial information (income, assets, investment goals, risk profile)
- Account forms, questionnaires, and documentation you submit

Information from Transactions

- Account balances and holdings
- Transaction history
- Trading activity
- Bank, wire, or transfer instructions

Information from Third Parties

- Custodians, banks, and financial institutions
- Account service providers
- Professionals you authorize (attorneys, CPAs, trustees)

Website and Digital Information (Limited Use)

We may collect basic technical information when you visit our website, such as:

- Browser type
- IP address
- Device information
- Pages visited

We do not sell, rent, or share personal information for advertising purposes.

2. How We Use Your Information

We use your information to:

- Provide investment advisory services
 - Establish and maintain your accounts
 - Execute transactions
 - Respond to inquiries
 - Provide reporting and account statements
 - Fulfill legal and regulatory requirements
 - Verify identity and prevent fraud
 - Communicate with you about your account and services
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3. How We Protect Your Information

We maintain administrative, technical, and physical safeguards designed to:

- Protect the security and confidentiality of your information
- Guard against anticipated threats or hazards
- Prevent unauthorized access, use, or disclosure

Safeguards include secure systems, restricted access, employee training, encryption protocols, and oversight of service providers.

4. When We Share Information

We do not disclose nonpublic personal information about clients to non-affiliated third parties, except as permitted or required by law. Examples of permitted sharing include:

Service Providers

- Custodians, banks, technology providers, auditors, and vendors assisting in operating your account.

Affiliated Entities

- Sunstate Bank (for custody or operational services, where applicable).

Regulatory or Legal Requirements

- SEC, FINRA (if applicable), law enforcement, regulators, courts, and government agencies.

Client-Authorized Sharing

With your consent, we may provide information to:

- Attorneys
- Accountants
- Trustees or fiduciaries
- Family offices
- Other trusted professionals

We do not sell client information.

5. Access, Updates, and Client Responsibilities

We encourage clients to notify us promptly if their:

- Contact information

- Financial condition
- Investment objectives
- Risk tolerance

change, so we may keep records accurate and appropriate for your advisory relationship. You may request corrections to your information at any time.

6. Website Cookies & Online Tracking

Sunstate Wealth may use minimal, essential cookies for:

- Website functionality
- Security
- Performance monitoring

We do not use behavioral advertising cookies or share cookie data with advertisers.

7. International Clients

For non-U.S. clients, Sunstate Wealth processes personal information only as necessary to provide advisory services and comply with applicable laws. We do not transfer personal data to unrelated third parties except as permitted or required.

8. Former Clients

We maintain confidentiality of information for former clients in the same manner as for current clients.

9. Changes to This Privacy Policy

We may update this policy periodically. Material changes will be posted on this page with a revised effective date. Clients will receive our annual Privacy Notice as required under Regulation S-P.

10. Contact Us

If you have questions about this Privacy Policy or how we handle personal information, please contact:

Sunstate Wealth Management, LLC

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