

# Privacy Notice for Mikel Wealth Management, LLC

Effective Date: January 26, 2026

## Introduction

Protecting the privacy of client information is a fundamental commitment of Mikel Wealth Management, LLC (MWM). This Privacy Notice explains how MWM collects, uses, protects, and discloses nonpublic personal information in connection with the provision of investment advisory services.

## How Information is Collected

While providing investment advisory services, MWM collects nonpublic personal information, including:

- Personal identification information: Name, address, date of birth, Social Security Number, occupation, employment history, financial goals, risk tolerance, and net worth
- Account information: Account statements, transaction history, holdings, and performance records
- Financial information: Income, assets, liabilities, and other financial data necessary to manage investments

## How Your Information is Used

MWM uses collected information for the following purposes:

- Providing investment advisory services and recommendations
- Executing and servicing investment accounts
- Communicating with you about accounts and services
- Complying with federal, state, and regulatory requirements
- Protecting accounts from unauthorized access and fraud
- Improving service delivery and client experience
- Internal business administration and analytics

## Disclosure of Information

MWM restricts access to nonpublic personal information and discloses it only under these circumstances:

- To authorized financial advisors and compliance staff who need the information to service your account
- To service providers (custodians, brokers, insurance companies) necessary to manage your accounts and investments
- To your designated representatives (attorney, trustee, power of attorney holder) with your written authorization
- To professional advisors (accountants, auditors, attorneys) as needed
- To government agencies, regulatory bodies, or law enforcement in response to subpoenas, court orders, or legal process
- Your information is NOT sold to telemarketers or third parties for marketing purposes

## How Your Information is Protected

MWM maintains comprehensive physical, electronic, and procedural safeguards to protect your nonpublic personal information:

- Limited access to client information (need-to-know basis)
- Secure password protection and multi-factor authentication

- Encrypted electronic systems and data transmission
- Secure document storage and destruction procedures
- Regular employee training on privacy and security
- Annual review of safeguarding procedures

Important Notice: While MWM implements reasonable security measures, no system is completely risk-free. MWM cannot guarantee absolute protection from unauthorized access, use, or disclosure of information.

#### **Closed or Inactive Accounts**

This Privacy Notice remains in effect even if your account is closed or inactive.

#### **Changes to This Notice**

MWM may update this Privacy Notice if regulations change or business practices evolve. Material changes will be provided to clients, and the updated notice will be available on request.

#### **Contact Information**

For questions or concerns regarding this Privacy Notice:

Mikel Wealth Management, LLC

5313 Serene Hills Drive #4407

Austin, TX 78738

Phone: 210-569-2805

Email: [cindy@mikelwealthmanagement.com](mailto:cindy@mikelwealthmanagement.com)

Chief Compliance Officer: Cindy Mikel

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This Privacy Notice is provided pursuant to Regulation S-P (17 CFR §248.1 et seq.) and supplements information contained in Form ADV Part 2A.