



MIKEL  
WEALTH  
MANAGEMENT

## **Privacy Policy of Mikel Wealth Management, L.L.C.**

**January 1, 2025**

### **Introduction**

Protecting privacy is very important to Mikel Wealth Management, LLC. This policy explains how privacy is protected when information is collected and used and the steps taken to safeguard that information. The goal is to treat the personal information provided with the utmost respect and follow this Privacy Policy. Please read this Privacy Policy carefully. This notice is provided on behalf of Mikel Wealth Management, LLC.

### **Collecting Information**

In connection with providing investment products, financial advice, or other services, nonpublic personal information is obtained, including:

- Personal identifying information provided, such as address, date of birth, Social Security Number, occupation, financial goals, assets, and income; and
- Information about accounts and transactions with Mikel Wealth Management, LLC, its affiliates, or other firms.

### **Information Disclosed**

Nonpublic information collected about clients is not disclosed to anyone except under the following circumstances:

- To the authorized Financial Advisor and their manager;
- To entities that perform services or function on behalf of Mikel Wealth Management, LLC, including financial service providers, such as a clearing broker-dealer, investment company, or insurance company (with prior approval);
- To the client's attorney, trustee, or anyone else who represents the client in a fiduciary capacity (with prior approval);
- To attorneys, accountants, or auditors of Mikel Wealth Management, LLC; and
- To government entities or other third parties in response to subpoenas or other legal processes required by law or to comply with regulatory inquiries.

### **Use of Information**

Information collected or provided may be used for any purpose, including, but not limited to:

- Protecting accounts from unauthorized access or identity theft;
- Providing requested materials;
- Personalizing contact;
- Servicing accounts and responding to requests such as securities purchases and sales;

- Sending administrative messages, content, and other services and features that may be of interest; and
- Complying with Federal, State, and Self-Regulatory Organization requirements and any other administrative and internal business purposes permitted by law.
- Names are not sold to telemarketers.

### **Protecting Information**

Access to nonpublic personal information is restricted to those who need that information to provide products or services and perform their respective duties. Physical, electronic, and procedural security measures are maintained to safeguard confidential client information. Despite good-faith efforts to maintain the security of such information, it cannot be guaranteed to remain free from unauthorized access, use, disclosure, or alteration. There is no liability to clients or any other party for the unauthorized access, use, or alteration of any information provided.

### **Closed or Inactive Accounts**

If an account is closed or inactive, this Privacy Policy will continue to apply.

### **Complaint Notification**

#### **Mikel Wealth Management, LLC**

5313 Serene Hills Drive #4407

Austin, TX 78738

Phone: 210-569-2805

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

### **Changes to This Privacy Policy**

The policy about obtaining and disclosing information may change from time to time. If any material change occurs, notifications will be provided, and the website will be updated to include such changes.

### **Contact**

For any questions or concerns about this Privacy Policy or data practices, contact:

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Austin, TX 78738

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