

# Privacy Notice

## STRATOS WEALTH PARTNERS, LTD.



Effective Date: March 31, 2026

Stratos Wealth Partners, Ltd. (“Stratos,” “we,” “us,” or “our”) is committed to protecting the confidentiality and security of personal information. This Privacy Notice describes how we collect, use, share, and safeguard personal information when you:

- visit our websites, portals, or online services (the “Online Services”);
- contact us, apply for, or receive financial advisory, planning, retirement, and related services (the “Services”); or
- otherwise interact with our business.

**Important note about financial privacy laws.** Much of the personal information we handle in providing financial services is subject to the Gramm–Leach–Bliley Act (“GLBA”) and related regulations (including SEC Regulation S-P). Where GLBA applies, it governs how we share and protect certain “nonpublic personal information.”

**Our relationship with SEI.** Stratos is majority owned by SEI Investments Company and certain affiliated entities (“SEI”). As part of this strategic relationship, Stratos and SEI may share information as described in this Notice.

### 1) Personal Information We Collect

We collect personal information about clients, prospective clients, investors, plan participants, and website visitors. Depending on your relationship with us, we may collect:

<b>Identifiers and Contact Information</b>	Name, postal address, email address, telephone number, date of birth, and similar identifiers.
<b>Government Identifiers</b>	Social Security number, taxpayer identification number, driver’s license/passport or other government ID (where required).
<b>Financial, Account, and Transaction Information</b>	Account numbers, custodial/brokerage information, holdings, transaction history, assets and liabilities, income, net worth, investment objectives, risk tolerance, and related financial profile data.
<b>Employment and Professional Information</b>	Employer information, job title/role, compensation/income details, and related information (as relevant to services).
<b>Beneficiary, Trust, and Estate Information</b>	Beneficiary details, trust/estate planning information, and related instructions (as applicable).
<b>Communications</b>	Information contained in communications with us (calls, emails, messages, correspondence), including records of advice/service interactions.
<b>Online and Device Information</b>	When you use our Online Services, we may collect information such as IP address, browser type, device identifiers, pages viewed, referring/exit pages, and similar network activity data.

### Sources

We collect information:

- directly from you (applications, forms, portals, communications);
- from custodians, broker-dealers, recordkeepers, financial institutions, and service providers;
- from third-party sources as permitted by law (e.g., identity verification, fraud prevention, or data providers).

### 2) How We Use Personal Information

We use personal information for legitimate business purposes, including:

<b>Providing and Administering Services</b>	Opening and servicing accounts; providing investment advisory and financial planning; executing and reconciling transactions; maintaining client relationships; and delivering requested products and services.
<b>Compliance, Legal, and Risk Management</b>	Meeting legal and regulatory obligations; responding to regulatory examinations and audits; recordkeeping; fraud prevention; cybersecurity and information security monitoring; and enforcing policies and agreements.
<b>Operational and Administrative Support</b>	Billing and fee calculation; account administration; vendor management; technology support and systems management; and business continuity.
<b>Business Oversight, Analytics, and Improvement</b>	Internal reporting and enterprise oversight; performance measurement and operational analytics; workflow automation; technology development and enhancement; and evaluation of service models and product offerings.  This may include geographic and market-level analytics using aggregated or de-identified information to support business planning, growth initiatives, and operational oversight (for example, market coverage analysis). We do not require “street-level” household identification for these oversight purposes.
<b>Corporate Governance and Strategic Activities</b>	Enterprise governance and reporting; evaluation of strategic initiatives (including potential acquisitions or integrations); integration of systems and operations; and support of affiliated service offerings.  Where required by applicable law, certain activities may be based on your direction or consent.

### 3) Our Relationship with SEI and Affiliate Processing

Stratos is majority owned by SEI. As part of this relationship:

- Stratos and SEI may share personal information for the purposes described in this Notice.
- SEI may provide technology, operational, compliance, cybersecurity, analytics, and administrative services to Stratos.

Personal information may be stored, processed, or analyzed in systems operated or supported by Stratos and/or SEI (including centralized platforms used for reporting, oversight, and operational efficiency).

In certain circumstances, and consistent with applicable law, information may be shared with affiliated advisory entities to facilitate continuity of services, succession planning, or reassignment of advisory relationships, including where you direct or consent to such sharing.

Depending on the context and activity, SEI may act as an affiliated entity, a service provider or processor to Stratos, or an independent business entity subject to its own privacy obligations. In all cases, any sharing or processing of personal information is conducted consistent with applicable law and subject to appropriate confidentiality, security, and contractual safeguards.

All sharing is subject to appropriate confidentiality and security safeguards.

### 4) How We Share Personal Information

We may share personal information as follows:

<b>With Affiliates</b>	Including SEI and its affiliates, for operational support, centralized processing, compliance, cybersecurity, enterprise oversight, analytics, governance, and strategic activities as described in this Notice.
<b>With Service Providers and Vendors</b>	We share personal information with third parties that perform services on our behalf, such as custodians, broker-dealers, retirement plan recordkeepers, fund administrators, cloud and hosting providers, cybersecurity providers, communications and collaboration providers, analytics providers, and compliance vendors. We do not share your information for non-affiliates to market to you.  These providers are required by contract to protect information and use it only for permitted purposes.
<b>For Legal and Regulatory Purposes</b>	We may share information with regulators, law enforcement, courts, and other parties when required or permitted by law, including to prevent fraud, manage security incidents, or respond to legal process.
<b>Corporate Transactions</b>	We may share information in connection with a merger, acquisition, financing, reorganization, or sale of all or part of a business, subject to confidentiality protections.

### 5) Centralized Processing, Data Platforms, and Reporting

To support efficient operations, effective oversight, and consistent service delivery, Stratos uses centralized data platforms and reporting environments.

Personal information may be stored and processed within centralized technology environments operated by Stratos and/or SEI. These environments may aggregate information from multiple custodians, service providers, and operational systems to:

- provide enterprise-level reporting and oversight;
- enable business intelligence dashboards and operational reporting;
- support workflow automation and operational efficiency;
- enhance cybersecurity monitoring; and
- improve service delivery and product offerings.
- Access is limited through role-based controls and other security safeguards.

### 6) Cookies, Analytics, and Online Tracking

Our Online Services may use cookies and similar technologies (e.g., pixels, tags, software development kits) to operate websites, enhance security, remember preferences, understand website usage, and improve content and performance.

<b>Types of Cookies</b>	<ul style="list-style-type: none"><li>• Essential cookies (required for core functionality and security)</li><li>• Analytics cookies (help us understand how our Online Services are used)</li><li>• Preference cookies (remember settings and choices)</li><li>• Advertising cookies (if used, help measure campaigns or deliver relevant content)</li></ul>
<b>Analytics Tools</b>	We may use analytics tools (for example, Google Analytics or similar services) to help analyze usage of our Online Services. These tools may collect information such as IP address, device/browser identifiers, and page interaction data.
<b>Managing Cookies</b>	You may be able to control cookies through: <ul style="list-style-type: none"><li>• your browser settings; and/or</li><li>• any cookie settings mechanism made available on our Online Services (if present).</li></ul> If you block certain cookies, some features may not function properly.
<b>Do Not Track</b>	Some browsers offer “Do Not Track” signals. Our Online Services may not respond to Do Not Track signals unless required by law.

## 7) U.S. State Privacy Disclosures and Choices

<b>No Sale for Money; No Cross-Context Behavioral Advertising (as configured)</b>	Stratos does not sell personal information in exchange for monetary compensation. We do not share personal information for cross-context behavioral advertising.  <b>Important:</b> Some website analytics and cookie-based technologies may be considered “sharing” under certain state privacy laws depending on how they are configured. Where applicable, Stratos will provide a method to exercise opt-out rights for non-essential cookies/analytics used for targeted advertising or similar purposes.
<b>Your Rights (where applicable)</b>	Depending on your state of residence and applicable law, you may have rights to: <ul style="list-style-type: none"><li>• request access to certain personal information we maintain about you;</li><li>• request correction of inaccurate personal information;</li><li>• request deletion in certain circumstances;</li></ul>
<b>How to Submit a Request</b>	To exercise applicable rights, contact us at:  <b>Privacy Contact:</b> <a href="mailto:privacy@stratoswp.com">privacy@stratoswp.com</a> <b>Phone:</b> 440-519-2500 <b>Address:</b> 3750 Park East Drive Suite 200 Beachwood, OH 44122  We may need to verify your identity before responding. Authorized agents: Where permitted by law, you may use an authorized agent to submit certain requests on your behalf, subject to verification and appropriate documentation.

## 8) Security and Safeguards

We maintain administrative, technical, and physical safeguards designed to protect personal information, including access controls, encryption where appropriate, monitoring and cybersecurity controls, vendor oversight, and confidentiality obligations for personnel.

No system can be guaranteed 100% secure; however, we work to maintain reasonable safeguards appropriate to the nature of the information.

## 9) Retention

We retain personal information for as long as necessary to provide services and for legitimate business purposes, including meeting legal and regulatory requirements, maintaining records, resolving disputes, enforcing agreements, and supporting security and fraud prevention.

## 10) Children’s Privacy

Our Online Services are not directed to children. We do not knowingly collect personal information from children under 18 through our Online Services.

## 11) Third-Party Links

Our Online Services may link to third-party websites. We are not responsible for the privacy practices of those third parties, and this Notice does not apply to their sites.

## 12) Updates to This Notice

We may update this Privacy Notice from time to time. When we do, we will update the Effective Date and provide any required notice consistent with applicable law.

## 13) Contact Us

If you have questions about this Notice or our privacy practices, contact:

**Stratos Wealth Partners, Ltd.**

**440-519-2500**

**[privacy@stratoswp.com](mailto:privacy@stratoswp.com)**