

# FACTS

## WHAT DOES ADVISORS ASSET MANAGEMENT, INC. (AAM) 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
- Date of birth
- Income transactions
- Assets and investment performance
- Investment experience
- Risk tolerance
- Account balances and
- Tax reporting information

When you are *no longer* our customer, we continue to share your information as described in this notice.

### How?

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

Reasons we can share your personal information	Does AAM share?	Can you limit this sharing?
<b>For our everyday business purposes—</b> such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
<b>For our marketing purposes—</b> to offer our products and services to you	No	We don't share
<b>For joint marketing with other financial companies</b>	No	We don't share
<b>For our affiliates' everyday business purposes—</b> information about your transactions and experiences	No	We don't share
<b>For our affiliates' everyday business purposes—</b> information about your creditworthiness	No	We don't share
<b>For non-affiliates to market to you</b>	No	We don't share

### Questions?

Call 888-969-2663 or go to <https://www.aamlive.com>

Who we are	
<b>Who is providing this notice?</b>	Advisors Asset Management, Inc.
What we do	
<b>How does AAM protect my personal information?</b>	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.
<b>How does AAM collect my personal information?</b>	We collect your personal information, for example, when you: <ul style="list-style-type: none"> <li>▪ enter into an investment advisory contract</li> <li>▪ give us your contact and other information about yourself</li> <li>▪ seek advice about your investments</li> <li>▪ tell us about your investment or retirement portfolio</li> <li>▪ open an account with us</li> </ul>
<b>Why can't I limit all sharing?</b>	Federal law gives you the right to limit only: <ul style="list-style-type: none"> <li>▪ sharing for affiliates' everyday business purposes—information about your creditworthiness</li> <li>▪ affiliates from using your information to market to you</li> <li>▪ sharing for nonaffiliates to market to you</li> </ul> <p>State laws and individual companies may give you additional rights to limit sharing.</p>
Definitions	
<b>Affiliates</b>	Companies related by common ownership or control. They can be financial and non-financial companies <ul style="list-style-type: none"> <li>▪ AAM does not share your personal information with affiliates.</li> </ul>
<b>Non-affiliates</b>	Companies not related by common ownership or control. They can be financial and non-financial companies. <ul style="list-style-type: none"> <li>▪ AAM does not share your personal information with nonaffiliates.</li> </ul>
<b>Joint Marketing</b>	A formal agreement between non-affiliated financial companies that together market financial products or services to you. <ul style="list-style-type: none"> <li>▪ AAM has not entered into any joint marketing agreements regarding your personal information.</li> </ul>