



Upper Left Wealth Management, LLC

Privacy Policy

Effective Date: April 1, 2026

1. Privacy Notice

Upper Left Wealth Management, LLC (“Upper Left Wealth,” “ULWM,” “we,” “our,” or “us”) respects your privacy and is committed to protecting the confidentiality, integrity, and security of the personal information we collect.

This Privacy Policy describes how we collect, use, share, and safeguard information through our website and in connection with our investment advisory services.

2. Information We Collect

We may collect personal information you provide directly to us, including when you contact us, complete forms, request information, or become a client. Depending on your relationship with us, this may include:

- Name, address, email address, and phone number
- Date of birth and Social Security number
- Employment, income, assets, liabilities, and net worth information
- Investment objectives, goals, and risk tolerance
- Account balances, holdings, and transaction history
- Other information relevant to providing advisory or financial planning services

We may also collect information from third parties, such as custodians, broker-dealers, other financial institutions, and service providers, where permitted by law or authorized by you. This is consistent with the information categories and collection methods described in your current notices.

3. How We Use Information

We use personal information to:

- Provide investment advisory and financial planning services
- Open, maintain, and service client accounts
- Communicate with you about your relationship with us
- Respond to inquiries and requests
- Comply with legal, regulatory, and compliance obligations
- Maintain records and operate our business

4. How We Share Information

We do not sell your personal information.

We may disclose personal information as permitted by law and only as reasonably necessary to service accounts, operate our business, or comply with legal or regulatory requirements. For example, we may share information:

- With custodians, broker-dealers, and other financial institutions in connection with account servicing
- With technology, compliance, administrative, reporting, or other service providers that support our business
- With your attorney, accountant, or other professional adviser at your direction or with your authorization
- As required or permitted by law, including in connection with regulatory examinations, subpoenas, court orders, or similar legal process

ULWM does not share information with non-affiliates for marketing purposes and does not engage in joint marketing with non-affiliates. ULWM shares information for everyday business purposes and for its own marketing, but not for affiliates' or non-affiliates' marketing.

5. Online Information and Website Usage

When you visit our website, we may collect limited technical and usage information automatically, such as your IP address, browser type, device type, pages visited, and general website activity. We may use cookies or similar technologies to help the website function, improve site performance, and better understand how visitors use the site.

This website information is used for business and operational purposes, including site administration, analytics, security, and improving the user experience.

6. How We Protect Information

We maintain physical, electronic, and procedural safeguards designed to protect personal information and to comply with applicable federal standards. Access to personal information is limited to those employees, representatives, and service providers who need it to provide services or support our business.

7. Former Clients

If you are no longer a client, we will continue to protect your nonpublic personal information in the manner described in this Privacy Policy, to the extent required by applicable law.

8. Third-Party Links

Our website may contain links to third-party websites. We are not responsible for the privacy practices or content of those websites. You should review the privacy policies of any third-party sites you visit.

9. Changes to This Privacy Policy

We may update this Privacy Policy from time to time. If we make material changes, we will update the effective date and post the revised version on our website.

10. Contact Us

If you have questions about this Privacy Policy, please contact us at:

Upper Left Wealth Management, LLC

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Phone: 917-768-3390

Email: support@upperleftwealth.com