

How We Use And Protect Personal Information At Westwind Capital, Inc.

At Westwind Capital Inc. (“WWC”), protecting your privacy is very important to us. We value your trust and we want you to understand what information we collect, how we protect it and how we use it. We treat personal information – nonpublic information that identifies you – with respect, and in accordance with this Privacy Policy.

Information We May Collect

We may obtain information, much of which comes directly from you, to provide you with products and services you have requested and as we deem appropriate, to determine your eligibility for products or services. We may collect identification and contact information, as well as transaction and investment experience information from applications, transactions with others and us, and from outside companies. Examples of the sources and types of information we may collect include:

- Information about the products and services you purchase through us, including copies of applications, registration forms, or other forms, containing your name, address, telephone number, social security number, e-mail address, investment objectives, income assets, employment information and accounts with others;
- Information regarding your brokerage and/or investment advisory transaction history with us, our service providers, such as broker-dealers, clearing firms or other companies; and
- Information that other companies who assist us in marketing our own products and services or products we offer jointly with other financial institutions may have, such as your name, address, and telephone number.

Information We May Disclose and To Whom We May Disclose Information

WWC does not disclose your personal information to companies or organizations not affiliated with us that would use the information we have provided them to contact you about their own products and services.

We may disclose all the personal information we collect, as described above, to companies, such as insurance companies and brokers, banks, and broker/dealers that provide services to you on our behalf, in the following types of situations. They are:

- Providing administrative, customer assistance, clearing, operational, or other services;
- Preparing, printing and delivering portfolio management performance reports, confirmation statements and other documents;
- Executing securities transactions;
- Maintaining or developing software for us; and
- A financial institution (such as banks, investment advisors or securities firms) with which we have joint marketing arrangements to jointly endorse or offer financial products or services.

Disclosures Permitted By Law

We may also disclose all the information we collect as permitted or required by law. For example, we may disclose information to law enforcement agencies or insurance and securities regulatory agencies.

Use of Artificial Intelligence (“AI”)

To enhance our investment research, operational efficiency, and client service, Westwind Capital may utilize various artificial intelligence and machine learning technologies. We prioritize your privacy in the deployment of these tools; our policy strictly prohibits the input of "Personally Identifiable Information" (PII)—such as your name, social security number, or specific account details—into public or third-party generative AI platforms. Any data utilized for AI-assisted analysis is either anonymized, aggregated, or processed within secure, "closed" environments that do not allow the information to be used for training external models or shared with unauthorized third parties.

SMS Texting

We understand that your phone number is personal information. Although we obtain phone numbers as part of the account opening process, clients can opt-in verbally to receive text messages and updates from our office regarding appointment times or service updates, as requested. Frequency may vary and message and data rates may apply. You can reply STOP to opt-out of receiving text messages at any time or call (575)

556-8500. Opt-in or opt-out preferences will be recorded in your electronic file. We take security measures to protect your phone number from unauthorized access and client phone numbers will not be shared with any third party for marketing purposes.

Instructions on How to Notify Us:

For any questions regarding this policy or to opt out, please contact your Advisor directly or call Westwind Capital at (575) 556-8500.