

**Part 2A of Form ADV: Firm Brochure**

Item 1 Cover Page

HUNT WEALTH MANAGEMENT ADV PART 2A  
12/31/2023

RON HUNT  
DAVID HUNT  
HUNT WEALTH MANAGEMENT GROUP, INC  
1001 GALAXY WAY  
SUITE 203  
CONCORD, CA 94520

This brochure provides information about the qualification and business practices of HUNT WEALTH MANAGEMENT GROUP, INC., CRD# 288892. If you have any questions about the contents of this brochure, please contact us at 925-279-1102. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority. Registration does not imply a certain level of skill or training.

Additional information about HUNT WEALTH MANAGEMENT can be found at <https://adviserinfo.sec.gov> and [www.huntwealthmanagement.com](http://www.huntwealthmanagement.com)

Item 2 Material Changes

There were no material changes.

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Item 4 Advisory Business

- A. The advisory firm, HUNT WEALTH MANAGEMENT (HWM), has \$85 million in assets under management including approximately \$20,000 in one 401(k) plan custodied with EPIC. *All* assets under management are discretionary. There are no non-discretionary assets under management. The owners of the firm are Ron Hunt and David Hunt. HWM has been in business as an RIA since June 2017.
- B. HWM offers investment advice to individuals. This advice entails thoroughly examining an individual's current wealth, income, age, risk tolerance, and upcoming financial needs. HWM will then advise them on how to invest their money between stocks, bonds, and funds to achieve their goals and remain within their personal risk levels.
- C. HWM will tailor advice to client needs and wants and avoid any type of security they do not wish to own.
- D. HWM will not participate in any *wrap fee program* with outside portfolio managers.
- E. HWM as of 12/31/2023 has approximately 175 clients, with \$85 million in assets under management, and all are US persons. All assets are managed on a discretionary basis.

## Item 5 Fees and Compensation

- A. Compensation for advisory services is based on a percentage of assets under management and negotiated with the client (Individuals, as stated in Item 4). Fees will be deducted on a quarterly basis. (for example: a client charged 1% would have 0.25% deducted every quarter). Lower fees for comparable services may be available from other sources.
- B. Fees are deducted on a quarterly basis from the account under management unless otherwise specified and agreed upon.
- C. Other types of expenses include transaction costs (when certain securities are bought or sold) imposed by custodians (brokerage firms, discussed in Item 12) and internal fees charged by index fund and mutual fund companies held within an individual's account.
- D. Clients will be billed for the *upcoming* quarter and will be refunded if the relationship is terminated prior to the end of that quarter on a pro rata basis.
- E. HWM and its *supervised persons* will not accept any compensation for the sale of any investment products as this would create a conflict of interest. Clients have the option to purchase investment products that HWM recommends through other agents not affiliated with the firm.

Item 6      *Performance-Based Fees and Side-By-Side Management*

The firm and its *supervised persons* will not accept any *Performance Based Fees* of any kind, and therefore HWM does not engage in side-by-side management. For example, hedge fund managers often use a “2 and 20” system whereby they charge 2% of assets under management and 20% of any profits. HUNT WEALTH MANAGEMENT will not do that.

Item 7      Types of *Clients*

HWM advises *individuals*.

There are no restrictions on account size to open an account, and no minimum balance to maintain once an account is opened. HWM is open to working with any individual seeking investment advice that is committed to improving their financial situation, compliant with account opening and firm procedures, and would appreciate the services of a professional investment advisor without restriction or discrimination other than restrictions by laws, rules and regulations.

- A. Investment analysis is based on macroeconomic developments combined with current market performance. Investing in all securities involves risk to loss of principal that clients should be prepared to bear.
- B. Investing carries costs in the form of custodial transaction costs and taxes on interest, dividends, and capital gains. HWM seeks to mitigate those costs through sound investing and infrequent trading.
- C. Equity investing in particular involves risk of market fluctuations. We recommend diversified portfolios that contain stocks, stock funds in the form of Exchange Traded Funds, bonds (both individual bonds and bond funds), and cash. Stocks and stock funds carry market risk greater than bonds typically (as seen in major market crashes like in March of 2020) and there is no guarantee against loss of principal.



Item 9      Disciplinary Information

There is no disciplinary information to disclose.

- A. There are no and have not been any criminal or civil action in domestic, foreign or military court or competent jurisdiction taken against HWM or its *management persons*.
- B. There are no and have not been any administrative proceedings before the SEC, any federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority taken against HWM or its *management persons*.
- C. There are not and have not been any self-regulatory organization (SRO) proceedings in which the firm or management person was 1) found to have caused an investment-related business to lose its authorization to do business or 2) found to have been involved in a violation of the SRO's rules and was barred, suspended, limited, or fined.

Item 10      Other Financial Industry Activities and Affiliations

- A. The owners of HWM have no affiliations with any financial advisory firms or institutions other than HWM itself.
- B. There are no registries nor applications outstanding to become a futures commission merchant, commodity pool operator, commodity trading advisor, or associated person of the foregoing entities.
- C. There are no affiliations or arrangements of HWM or its *management persons* with any of the following:  
1) broker-dealer, municipal securities dealer, or government securities dealer 2) investment company or other pooled investment vehicle 3) investment adviser or financial planner 4) futures commission merchant, commodity pool operator, or commodity trading advisor 5) banking or thrift institution 6) accountant or accounting firm 7) lawyer or law firm 8) insurance company or agency 9) pension consultant 10) real estate broker or dealer 11) sponsor or syndicator of limited partnerships.
- D. The firm does not receive compensation from any recommendation made to a client by an outside person or entity of any kind.

Item 11      Code of Ethics, Participation or Interest in *Client* Transactions and Personal Trading

HWM has no relationship with, nor can profit from, other financial persons or institutions or profit from trades or investment advice given to its clients.

- A. HWM is not an SEC-registered advisor. A copy of the Code of Ethics for HWM will be provided to any client upon request and is provided at the time of agreement with HWM for their services. In brief, it states that we at HWM hold ourselves to the Fiduciary Standard and will always provide advice that best helps the client, not HWM.
- B. HWM will never recommend any security where there is material financial interest to HWM as this would be a conflict of interest.
- C. The advisors of HWM will, from time to time, own similar securities as clients in the form of stocks, bonds, and exchange traded funds.
- D. When the advisors of HWM recommend buying or selling securities that it also owns this could represent a conflict of interest if the action were to influence the price. However, in the volumes and securities HWM will deal with, this will not take place. If we felt that it could take place that information would be disclosed and the advisors of HWM would refrain from acting on any price movements caused by actions taken on the client's behalf.

Item 12      Brokerage Practices

- A. The client may choose any custodian they want. There is no incentive for HWM to use one custodian over another. HWM does perform due diligence to ensure confidence that custodians perform best execution. Additionally, HWM receives no commissions or payments of any kind from any custodian that houses client assets. In the event HWM receives a referral from a broker-dealer there will be no incentive (financial or otherwise) to use one custodian over another. HWM does not receive any commissions or fees from brokers of any kind.
- B. HWM does not aggregate the purchase or sale of securities for various client accounts. Each *client* has a specific account and allocation and are traded in individually.

Item 13      Review of Accounts

- A. HWM will review client accounts on an ongoing basis throughout the year by either or both Ron and David Hunt and make recommendations on how to save and invest for the future and may put this in written form. However, HWM will not create “Financial Plans” as a separate service. All planning is done as part of a holistic approach to best advise on investable assets with HWM.
- B. Client accounts are reviewed periodically (by either or both Ron Hunt, President and David Hunt, Vice President) unless unusual market activity or client request triggers more frequent reviews. Things that could trigger more frequent reviews include major geopolitical events or stock market crashes in the US or abroad.
- C. Reports will be generated monthly and available upon request to clients in the form of pdf or paper. They include account returns, fees, deposits and withdrawals.

Item 14      *Client* Referrals and Other Compensation

- A. There is no compensation for *client* referrals of any kind including sales awards or prizes.
- B. There is no compensation for referrals to or from outside parties.

Item 15      *Custody*

The Firm's policy is to never take custody of client funds. Clients will receive statements on a monthly basis from their qualified custodians that hold and maintain client assets. The Firm urges clients to carefully review such statements for accuracy.

In compliance with specific state law and to prevent HWM from being deemed as maintaining custody, since fees are taken directly out of client accounts, HUNT WEALTH MANAGEMENT will:

- A. Maintain written authorization from the client to deduct advisory fees from their accounts
- B. Send notification to the custodian and client each time a fee is to be directly deducted from client accounts
- C. Retain a detailed invoice on the formula used to deduct the fee, the assets under management the fee is based on, the annual fee rate, and the time period covered by the fee.

Item 16      Investment Discretion

Investment discretion will be given to HWM by clients via the Client Service Agreement; however, the client is always notified of trading (through statements or otherwise). HWM will have discretion to determine both the specific security and the time to execute securities bought and sold on clients' behalf.



Item 17      Voting *Client* Securities

- A. HWM will not vote proxy for any client at any time. No voting rights will be accepted by HWM.
- B. Clients themselves will have to cast their own vote. The client will receive their voting proxies from the custodian and are encouraged to look into the matters being voted on can contact their advisor for any questions.

Item 18      Financial Information

HWM has no financial obligations that are reasonably likely to impair its ability to meet contractual commitments to clients.

- A. HWM will never solicit prepayment of more than \$1,200 (or any amount) in fees per *client* six months or more in advance. Fees are collected only three months in advance.
- B. (same as above)
- C. HWM and its principals have never been the subjects of a bankruptcy petition at any time.

Item 19      Requirements for State-Registered Advisers

- A. See items of Form ADV Part 2B for info on *management persons*.
- B. *Management persons* are not engaged in any other business outside of investment advice.
- C. Fees are calculated based on the value of the account of the last trading day of the quarter. There are no additional fees such as performance-based fees.
- D. In the capacity as *management persons* of HWM, David Hunt and Ron Hunt have no material to disclose in regards to damages awarded from arbitration.
- E. HWM has no relationship with any issuer of securities of any kind.

All material conflicts have been disclosed and any new conflicts that should arise will immediately be disclosed to the client in writing. This includes any material conflict of interest regarding HWM, its representatives, or any of its employees, which would be reasonably expected to impair the rendering of unbiased and objective advice.

Additionally, HWM maintains a Business Continuity Plan that describes the actions taken in the event of an emergency that would otherwise disrupt the normal flow of business to ensure that client accounts will be serviced and client needs would be met. Briefly, should either one of Ron Hunt or David Hunt be rendered unable to work the other would provide services in his stead. Should both be rendered unable to work, the custodians of the clients' accounts would be notified by an assistant as well as the clients themselves.

**Part 2B of Form ADV: *Brochure Supplement***

Item 1 Cover Page

HUNT WEALTH MANAGEMENT Form ADV Part 2 B  
As of 12/31/23

RON HUNT CRD# 1215442  
HUNT WEALTH MANAGEMENT GROUP, INC  
1001 GALAXY WAY  
SUITE 203  
CONCORD, CA 94520

925-279-1102

**This brochure supplement provides information about Ron Hunt that supplements the HUNT WEALTH MANAGEMENT GROUP, INC. brochure. You should have received a copy of that brochure. Please contact Ron Hunt or David Hunt if you did not receive HUNT WEALTH MANAGEMENT's brochure or if you have any questions about the contents of the supplement.**

**Additional information about Ron Hunt is available on the SEC's website at <https://adviserinfo.sec.gov>.**

## Item 2 Educational Background and Business Experience

Ron Hunt, born in 1950, attended the University of Oregon earning a degree in political science as an undergraduate and attended UCLA for graduate school studying public administration. He has worked in the financial services industry since 1983, first as a financial consultant for Lehman Brothers which then became Citigroup Global Markets (Smith Barney), then as an independent adviser from April 2009 with Concert Wealth Management until August 2017. Additionally, Ron was briefly registered with Sowell Financial Services for part of 2016 and 2017. Ron is now only working for and registered with Hunt Wealth Management.

Item 3 Disciplinary Information

Ron Hunt has not had a criminal or civil action in a domestic, foreign, or military court of competent jurisdiction in which he was:

- A.
  - 1. convicted of or pled guilty or nolo contendere to any felony, misdemeanor that involved investments or an investment related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion or conspiracy to commit any of these offenses;
  - 2. named as the subject of a pending criminal proceeding that involves an investment related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses;
  - 3. found to have been involved in a violation of an investment related statute or regulation; or
  - 4. the subject of any order, judgement, or decree permanently or temporarily enjoining, or otherwise limiting them from engaging in any investment related activity or from violating any investment related statute, rule, or order.
- B. Ron Hunt has not had an administrative proceeding before the SEC, any other federal regulatory agency, or any foreign financial regulatory authority in which he was:
  - 1. found to have caused an investment related business to lose its authorization to do business; or
  - 2. found to have been involved in a violation of an investment related statute or regulation and was the subject of an order by the agency or authority resulting in them:
    - a. denying, suspending, or revoking the authorization of Ron Hunt to act in an investment related business;
    - b. barring or suspending Ron Hunt's association with an investment related business;
    - c. otherwise significantly limiting Ron Hunt's investment related activities; or
    - d. imposing a civil money penalty or more than \$2,500 on Ron Hunt.
- C. Ron has not had a self-regulatory organization (SRO) proceeding in which
  - 1. was found to have caused an investment related business to lose its authorization to do business; or
  - 2. was found to have been involved in a violation of the SRO's rules and was barred or suspended from membership or from association with other members, or was expelled from membership; otherwise significantly limited from investment related activities; or fined more than \$2,500.
- D. Ron Hunt has not had any other hearing or formal adjudication in which a professional attainment, designation, or license of them was revoked or suspended because of a violation of rules relating to professional conduct. Nor did either resign in anticipation of such an event.

Item 4 Other Business Activities

- A. Ron Hunt is not currently registered with or employed by any other financial institution or business of any kind nor does he have any pending applications for any investment related businesses or occupations.
  - 1. There are no conflicts of interest of any kind
  - 2. There are no commissions, bonuses, or other compensation of any kind other than the agreed upon fee charged to the client.
- B. Ron Hunt is not engaged in any other business or occupations for compensation of any kind.

Item 5 Additional Compensation

There are no additional compensation (including sales awards or other prizes) made available to Ron Hunt by anyone for providing advisory services.



## Item 6 Supervision

Correspondence review and other required supervision is performed by Ron Hunt for David Hunt, and by David Hunt for Ron Hunt, in accordance with industry rules and regulations, and with advice received as requested from outside compliance consultants. Additionally, all records of email correspondence are archived by a third party and reviewed in-house by the CCO periodically in compliance with state and federal laws and regulations. Phone numbers for people currently responsible for supervision (Ron and David Hunt, respectively) are 925-279-1102 and 925-279-1103.

Item 7 Requirements for State-Registered Advisers

- A. Ron Hunt has never been found liable in an arbitration claim alleging damages in excess of \$2,500, involving an investment or an investment related business or activity; fraud, false statements, or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Nor has there been an award or otherwise being found liable in a civil, SRO, or administrative proceeding involving an investment or an investment related business or activity; fraud, false statements, or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.
- B. Ron Hunt has never been the subject of a bankruptcy petition.

**Part 2B of Form ADV: *Brochure Supplement***

Item 1 Cover Page

HUNT WEALTH MANAGEMENT Form ADV Part 2 B  
As of 12/31/2023

DAVID HUNT CRD# 5159193  
HUNT WEALTH MANAGEMENT GROUP, INC  
1001 GALAXY WAY  
SUITE 203  
CONCORD, CA 94520

925-279-1103

**This brochure supplement provides information about David Hunt that supplements the HUNT WEALTH MANAGEMENT GROUP, INC. brochure. You should have received a copy of that brochure. Please contact Ron Hunt or David Hunt if you did not receive HUNT WEALTH MANAGEMENT's brochure or if you have any questions about the contents of the supplement.**

**Additional information about David Hunt is available on the SEC's website at <https://adviserinfo.sec.gov>.**

Item 2 Educational Background and Business Experience

David Hunt, born in 1983, attended the University of California at Davis and has worked in the financial services industry since 2006 first as a financial consultant for Citigroup Global Markets (Smith Barney), then as an independent adviser from April 2009 with Concert Wealth Management to August 2017. Additionally, David was briefly registered with Sowell Financial Services for part of 2016 and 2017. David is now only working for and registered with Hunt Wealth Management.

Item 3 Disciplinary Information

David Hunt has **not** had a criminal or civil action in a domestic, foreign or military court of competent jurisdiction in which he was:

- B.
  - 1. convicted of or pled guilty or nolo contendere to any felony, misdemeanor that involved investments or an investment related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion or conspiracy to commit any of these offenses;
  - 2. named as the subject of a pending criminal proceeding that involves an investment related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses;
  - 3. found to have been involved in a violation of an investment related statute or regulation; or
  - 4. the subject of any order, judgement, or decree permanently or temporarily enjoining, or otherwise limiting them from engaging in any investment related activity or from violating any investment related statute, rule, or order.
- B. David Hunt has not had an administrative proceeding before the SEC, any other federal regulatory agency, or any foreign financial regulatory authority in which he was:
  - 1. found to have caused an investment related business to lose its authorization to do business; or
  - 2. found to have been involved in a violation of an investment related statute or regulation and was the subject of an order by the agency or authority resulting in them
    - a. denying, suspending, or revoking the authorization of David Hunt to act in an investment related business;
    - b. barring or suspending David Hunt's association with an investment related business;
    - c. otherwise significantly limiting David Hunt's investment related activities; or
    - d. imposing a civil money penalty or more than \$2,500 on David Hunt.
- C. David has not had a self-regulatory organization (SRO) proceeding in which he
  - 1. was found to have caused an investment related business to lose its authorization to do business; or
  - 2. was found to have been involved in a violation of the SRO's rules and was barred or suspended from membership or from association with other members, or was expelled from membership; otherwise significantly limited from investment related activities; or fined more than \$2,500.
- D. David Hunt has not had any other hearing or formal adjudication in which a professional attainment, designation, or license of them was revoked or suspended because of a violation of rules relating to professional conduct. Nor did either resign in anticipation of such an event.

Item 4 Other Business Activities

- C. David Hunt is not currently registered with or employed by any other financial institution or business nor does he have any pending applications for any investment related businesses or occupations.
  - 3. There is no conflict of interest of any kind.
  - 4. There are no commissions, bonuses, or other compensation of any kind other than the agreed upon fee charged to the client.
- D. David Hunt is not engaged in any other business or occupations for compensation of any kind.

Item 5 Additional Compensation

There are no additional compensation (including sales awards or other prizes) made available to David Hunt by anyone for providing advisory services.

## Item 6 Supervision

Correspondence review and other required supervision is performed by Ron Hunt for David Hunt, and by David Hunt for Ron Hunt, in accordance with industry rules and regulations, and with advice received as requested from outside compliance consultants. Additionally, all records of email correspondence are archived by a third party and reviewed in-house by the CCO periodically in compliance with state and federal laws and regulations. Phone numbers for people currently responsible for supervision (Ron and David Hunt, respectively) are 925-279-1102 and 925-279-1103.



Item 7 Requirements for State-Registered Advisers

- C. David Hunt has never been found liable in an arbitration claim alleging damages in excess of \$2,500, involving an investment or an investment related business or activity; fraud, false statements, or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Nor has there been an award or otherwise being found liable in a civil, SRO, or administrative proceeding involving an investment or an investment related business or activity; fraud, false statements, or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.
- D. David Hunt has never been the subject of a bankruptcy petition.

# Business Continuity Plan

## **I. EMERGENCY CONTACT PERSONS:**

In the event Ron Hunt has an emergency, David Hunt would be the primary contact, 925-279-1103 [david.hunt@huntwealthmanagement.com](mailto:david.hunt@huntwealthmanagement.com). In the event David Hunt has an emergency, Ron Hunt would be the primary contact, 925-279-1102 [ron.hunt@huntwealthmanagement.com](mailto:ron.hunt@huntwealthmanagement.com). The firm will provide FINRA with an update in the event of emergency. Custodial contacts in the event both Ron and David Hunt are unable to service client needs: Charles Schwab 800-515-2157.

## **II. FIRM POLICY:**

Our firm's policy is to respond to a Significant Business Disruption (SBD) by safeguarding employees' lives and firm property, making a financial and operational assessment, quickly recovering and resuming operations, protecting all of the firm's books and records, and allowing our customers to transact business. In the event that we determine we are unable to continue our business; we will assure customers prompt access to their funds and securities and alert clients and custodians. Our firm will maintain copies of its Business Continuity Plan and internal annual reviews, and the changes that have been made to it for inspection.

## **III. BUSINESS DESCRIPTION and ACCESS TO FUNDS:**

Our firm conducts business in equity and fixed income. Our firm is an introducing firm and does not perform any type of clearing function for itself or others. Furthermore, we do not hold customer funds or securities. We accept and enter orders. All transactions are sent to custodians, which executes and settles them. The custodians also maintain our customers' accounts, can grant customers access to them, and delivers funds and securities. Our firm services only retail customers. Contact your custodian if all persons from HWM are unreachable.

## **IV. OFFICE LOCATION**

Hunt Wealth Management  
1001 Galaxy Way, Suite 203, Concord, CA 94520

## **V. DATA BACK-UP**

HWM maintains copies of client information on secure hard drives and servers in addition to the data stored by custodians on their servers.

## **VI. CONTINUING OPERATION**

Business will continue to run as normal if at least one (1) employee is able to function in an advisory capacity. In the event HWM is unable to operate in an advisory capacity, then clients could continue to access, trade, and remove funds directly via their individual custodian(s).

## **VII. UPDATES and REVIEW:**

HWM will update this plan whenever we have a material change to our operations, structure, or business. In addition, HWM will review this Plan annually to modify it for any changes in our operations, structure, or business.

# Privacy Policy

HWM is committed to protecting your privacy

## Information We Collect

The nonpublic personal information we collect may include, but is not limited to:

- Name and address
- Birth date and social security number
- Contact information: phone and email
- Marital status
- Names and information on dependent children and beneficiaries
- Employment information
- Financial circumstances (e.g. assets, income, transaction experience with financial companies)

## Why We Collect Information and Who We Share it With

We use this information in order to A) open an account with a custodian, B) to provide you with the investment products and services you request, and C) get to know you in order to best serve your needs and as part of KYC (know your client) rules and regulations. Financial institutions, such as the custodians we do business with and investment firms such as HWM are required by law gather the above information to prevent fraud and protect clients. In addition to sharing information with financial institutions (custodians) to provide services, we process your information with customer relationship management software that also stores information. Additionally, we are required by law to make client information available to regulatory authorities upon request. *In no circumstance will we sell your personal information.*

## How We Safeguard Your Information

We have confidentiality agreements in place with the custodians we do business with for your protection. Additionally, we have password protected user access to computers and digital files and lock and key protection for any physical files.

We reserve the right to update this policy at any time and you will be notified if any changes do occur.

You may contact HUNT WEALTH MANAGEMENT with any questions or concerns regarding the Privacy Policy at [huntwealthmanagement.com](http://huntwealthmanagement.com) or directly at [david.hunt@huntwealthmanagement.com](mailto:david.hunt@huntwealthmanagement.com).

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