



PRIVACY NOTICE

Pursuant to Regulation S-P adopted by the Securities and Exchange Commission, it is the policy of Argent Wealth Management, LLC (“Argent”) to keep confidential nonpublic personal information (“*information*”) pertaining to each current and former client (i.e., information and records pertaining to personal background, investment objectives, financial situation, investment holdings, account numbers, account balances, tax returns and related information, other tax matters, etc.) unless Argent is:

(1) previously authorized by the client to disclose *information* to individuals and/or entities not affiliated with Argent, including, but not limited to the client’s other professional advisors and/or service providers (i.e., attorney, accountant, insurance agent, broker-dealer, investment adviser, tax information/returns, account custodian, etc.);

(2) required to do so by judicial or regulatory process; or

(3) otherwise permitted to do so in accordance with the parameters of Regulation S-P.

The disclosure of *information* contained in any document completed by the client for processing and/or transmittal by Argent in order to facilitate the commencement/continuation/termination of a business relationship between the client and a nonaffiliated third party service provider (i.e., broker-dealer, investment adviser, account custodian, insurance company, etc.), including *information* contained in any document completed and/or executed by the client for Argent (i.e., advisory agreement, client information form, etc.), shall be deemed as having been automatically authorized by the client with respect to the corresponding nonaffiliated third party service provider.

Each individual and/or entity affiliated with Argent is aware of Argent’s *Privacy Policy*, and has acknowledged his/her/its requirement to comply with same. In accordance with Argent’s *Privacy Policy*, each such affiliated individual and/or entity shall have access to *information* to the extent reasonably necessary for Argent to perform its services for the client, and to comply with applicable regulatory procedures and requirements.



PROXY VOTING POLICY

Argent Wealth Management, LLC (“Argent”) does not vote client proxies. Therefore, although Argent may provide investment advisory services relative to client investment assets, Argent clients maintain exclusive responsibility for: (1) directing the manner in which proxies solicited by issuers of securities beneficially owned by the client shall be voted, and (2) making all elections relative to any mergers, acquisitions, tender offers, bankruptcy proceedings or other type events pertaining to the client’s investment assets. Argent and/or the client shall correspondingly instruct each custodian of the assets to forward to the client copies of all proxies and shareholder communications relating to the client’s investment assets, except in situations where the client specifically instructs and authorizes an investment manager to vote proxies. Any questions regarding Argent’s proxy voting policy shall be directed to David M. Duchesneau, Managing Director of Argent Wealth Management, LLC at (781) 290-4900.



BUSINESS CONTINUITY DISCLOSURE

In accordance with applicable regulations, Argent Wealth Management, LLC ("Argent") has developed a business continuity plan to assist the firm in appropriately responding to a significant business disruption ("SBD") as promptly as possible under the prevailing conditions.

Argent's business continuity plan addresses data backup and recovery, mission critical systems, business impact (financial and operations) analysis, business resumption and crisis management communication.

In the event of a short term disruption, such as an evacuation of the office, alternative recovery site arrangements have been made. Different courses of action will be pursued depending on the impact to the site. To the extent necessary, critical staff will be relocated to another site.

In the event of a long term disruption, such as structural damage or denial of access to the Argent's office for a significant period of time, alternative staff recovery site arrangements exist and alternative technology recovery sites exist.

Argent is a registered investment adviser that in accordance with Rule 206(4)-2 of the Investment Advisers Act of 1940, may not have custody of client funds or securities unless they are maintained by a qualified custodian. Argent is not a qualified custodian (e.g., a bank, broker-dealer, futures commission merchant or foreign financial institution as defined by the above-referenced rule), and therefore may not maintain custody of client funds or securities.

Clients must contact their respective custodians to access their funds.

Argent will adhere to the procedures set forth in its business continuity plan and described in this disclosure statement to the extent commercially reasonable and practicable under prevailing circumstances. Although our plan is designed to address and respond to potential business disruptions, it is not possible to anticipate every scenario. In addition, disruptions, and the events that cause them, may vary significantly in size, scope, severity, duration and geographic location that could affect the firm's recovery in vastly disparate ways. As a result, Argent reserves the right to respond to emergencies and SBDs in a situation-specific manner in which the firm deems prudent, in its sole discretion. Neither Argent's business continuity plan nor this disclosure statement is a guarantee regarding the actions, performance or recovery of our systems or personnel in the event of a SBD.

Our business continuity plan and the disclosure statement are subject to modification at any time.