

# WE PROTECT YOUR PRIVACY

At Northwestern Mutual Investment Services, LLC (NMIS) and Northwestern Mutual Wealth Management Company® (NMWMC), your privacy is important to us. We want you to know that:

- We do not sell or rent to anyone the information you have entrusted to us;
- We do not share your personal information with nonaffiliated companies who want to market their products or services to you (except at your request or with your consent);
- We do not offer an opportunity for you to prevent or "opt out" of information sharing since we share personal information with others only as allowed by law; and
- You do not need to contact us to benefit from our privacy protections.

This notice applies to Northwestern Mutual Investment Services, LLC, and Northwestern Mutual Wealth Management Company. If you have a relationship with additional Northwestern Mutual affiliated companies, you may receive privacy notices from them.

Northwestern Mutual is the marketing name for The Northwestern Mutual Life Insurance Company, Milwaukee, WI (NM) (life and disability insurance, annuities) and its subsidiaries.

Northwestern Mutual Investment Services, LLC (securities), subsidiary of NM, broker-dealer, registered investment adviser, and member FINRA and SIPC. Trades are executed, cleared and settled and accounts are carried by Pershing, LLC.

Northwestern Mutual Wealth Management Company® (NMWMC), Milwaukee, WI (investment management, trust services, and fee-based financial planning), subsidiary of NM and limited purpose federal savings bank.

Investment products are not insured by the FDIC, are not deposits or other obligations of, or guaranteed by, NMWMC or its affiliates and are subject to investment risks, including possible loss of the principal amount invested.



# PRIVACY NOTICE

FOR NORTHWESTERN MUTUAL  
INVESTMENT SERVICES, LLC  
AND NORTHWESTERN MUTUAL  
WEALTH MANAGEMENT COMPANY



## PRIVACY NOTICE

To help you understand how we protect information about you, this notice describes our current privacy policy and practices.

Throughout the continuation of our relationship with you we will provide notice of our privacy policy and practices as required by law.

### SECURITY OF PERSONAL INFORMATION

NMIS and NMWMC have and maintain strict policies and procedures to protect information about you during all stages of our relationship with you. In addition, we maintain physical, electronic and procedural safeguards that comply with applicable standards to protect your personal information. Access to personal information by employees and other representatives is restricted to those individuals who have a business need for such information.

### INFORMATION WE MAY COLLECT AND USE

We collect personal information about you in order to provide, administer and service financial products and services, including trust services, investment management services, financial planning, stocks, bonds and mutual funds. For example, we may gather information from you on applications or other forms, electronically, by telephone or in writing. This may include information such as your name, address, Social Security number, assets, income and information to confirm your identity. We may also collect from other sources, such as consumer reporting agencies, information about your creditworthiness and credit history (NMIS may obtain and share consumer credit reports about you as you have authorized). Finally, we may gather information from the client website outside accounts and/or document sharing features, and your transactions with us and our affiliated companies within the Northwestern Mutual family, such as your account balance and payment history.

### INFORMATION WE MAY DISCLOSE

We regard all of your personal information as confidential. However, in the course of conducting our business, there are circumstances in which we may use and disclose to other parties the information described above. We may do this only as permitted by law.

For example, we may share the information we collect with third parties who are under contract to perform account servicing for us, such as clearing brokers and vendors providing data processing or transaction processing. We also may disclose this information to other third parties, as permitted by law, such as a regulator during the course of an examination, or as necessary to protect our rights.

Such information may be used by your financial representative and by any company within the Northwestern Mutual family to provide, review and service your account. Your financial representative may also use this information to advise you of additional financial products and services offered by companies of the Northwestern Mutual family.

We may work with outside firms to help us develop our marketing approaches. We may share with such firms certain identification and transaction information, as described above. We also may share this type of information within the Northwestern Mutual family of companies to provide you with better service. This also makes it possible for us to advise you of other financial products and services the companies of the Northwestern Mutual family have to offer to meet your needs. We may do this as allowed by law.

When we hire other parties to help us conduct our business, we require them to protect your personal information. Furthermore, we do not permit them to use or share your personal information for any purpose other than the work they are doing on our behalf or as required by law.

We will continue to limit disclosures of your personal information even if our relationship with you ends. This will be done in accordance with our stated privacy policy. Direct inquiries to: NMIS/NMWMC Privacy Notice | 611 East Wisconsin Avenue | Milwaukee, WI 53202.