

RIAConnect® Privacy Notice

Last updated: May 20, 2022

RIAConnect, a service brought to you by Schwab Advisor Services™, helps firms connect with each other and with talent interested in the Registered Investment Advisor industry. The RIAConnect platform (“RIAConnect” or “Platform”) is available to advisors via Schwab Advisor Center and/or Veo One and to external talent candidates via schwabriacconnect.com/talentadvantage.

RIAConnect is maintained by a third-party service provider. This Notice describes what personal information we collect, and how we use, share, and protect it. By using the Platform, you consent to the terms below.

What information do we collect?

Users of the Platform must provide information about themselves and/or their firm. We collect one or more of the following directly from you:

- Firm profile information
- Organization and compensation structure
- Services offered
- Client composition
- Staffing information
- Custodians and technology
- Match objectives
- Age, gender, and education
- Licenses and professional affiliations
- Other information

Users can remain anonymous to other users of RIAConnect they are interested in revealing their identity.

We also collect information through cookies and other similar technologies—for example, information related to the device you use, your IP Address, the features of the Platform you use, and other information—to provide Platform analytics and to help optimize the Platform and make it easier to navigate.

For further information regarding the personal information we may collect and additional rights that you may have, please review Schwab’s Privacy Notices at www.schwab.com/privacy.

How do we use and share information?

Schwab Advisor Services may use the information you provide to offer, market, or improve our services, complete requests, and respond to communications from you. Schwab employees will have access to information you share on the Platform to assist in the delivery of the RIACConnect service.

Your information will also be accessible by our third-party service provider that is contractually permitted to use the information collected only for purposes of delivering the Platform.

We may share your personal information with service providers as necessary to deliver the Platform. We also may share your personal information when legally required or allowed for the purposes described in this Notice, with law enforcement and governmental agencies to detect and prevent fraud or criminal activity, or with regulatory authorities, courts, and governmental agencies to comply with legal orders, legal or regulatory requirements, and government requests. We also may share your personal information in aggregated form as needed.

Where possible, our disclosure of your personal information to service providers is subject to agreements that require the use of safeguards to protect your personal information and that restrict the use of your information for the purpose for which it was shared.

How Do We Protect Your Information?

We place great importance on the security of your information. As such, Schwab Advisor Services and our third-party provider use appropriate administrative, technical, and physical safeguards to protect your personal information on the platform against accidental or unlawful destruction, loss, alteration, disclosure, or access. Note that while we strive to protect your personal information, no safeguard or measure, alone or in combination with others, is 100% effective.

Your Rights

You have the right to access, update, or delete your personal information by contacting RIACConnect at riacconnect@schwab.com. We encourage you to keep your profile information up to date to enhance your experience with RIACConnect. Please note as well that deleting your personal information may limit the Platform's functionality with respect to you.

Contacting Us

If you have any questions or comments about this Notice or the Platform, you may contact RIAConnect at riacconnect@schwab.com.

Changes to this Notice

We may update or amend this Notice from time to time. When we make changes, we will update the “Last Updated” date at the top of this page. Any changes to this Notice will become effective when posted.