

How AssetMark Protects Client Information

AssetMark is a full-service wealth management platform that powers financial advisors and their clients. AssetMark's ecosystem of outsourced solutions equips advisors of all sizes with services and capabilities that would otherwise require significant investments of time and money, which ultimately enables them to deliver innovative investor solutions while enhancing their productivity, profitability, and client satisfaction.

AssetMark is a U.S.-based company that is publicly traded on the NYSE (ticker: AMK) and registered with the United States Securities and Exchange Commission (SEC). The firm's majority shareholder is Huatai (HTSC), a publicly traded financial services firm based in China and listed on the Shanghai Stock Exchange, the Stock Exchange of Hong Kong Limited and the London Stock Exchange. AssetMark is an independent firm with separate employees, technology, and operations, and does not share client information or sensitive technology with HTSC. AssetMark has its own distinct and separate management team that is singularly focused on enabling AssetMark's ability to continually serve clients. All client assets on the AssetMark platform are custodied in the United States.

PRIVACY AND SECURITY OF CLIENT DATA

The privacy and security of client data is of critical importance to AssetMark. AssetMark is subject to extensive regulatory scrutiny in the U.S., including by the SEC, as well as numerous state and federal laws and regulations. Specifically, AssetMark is governed by SEC Regulation S-P under the Gramm-Leach-Bliley Act. This regulation protects the privacy and security of client data. Regulation S-P requires that AssetMark:

- Safeguards the security and confidentiality of all client records and information;
- Protects against any anticipated threats or hazards to the security or integrity of client records and information; and
- Protects against any unauthorized access or use of such information that could result in substantial harm or inconvenience to any client.

Under Regulation S-P, it is AssetMark's duty and obligation to install and abide by appropriate policies, procedures and practices to meet this high standard. Procedures include physical and structural safeguards that prevent the data from being accessed by affiliates or any third party except where properly protected and necessary for the delivery of services to the client.

Going beyond the obligations under Regulation S-P, AssetMark voluntarily maintains strict policies to prevent the sharing of data outside of the U.S. to HTSC.

AssetMark preserves complete network separation from HTSC and submits to regular third-party audits of security protocols to ensure and the strength of data protection measures.

In connection with its ownership structure, AssetMark and HTSC are subject to the jurisdiction of the Committee on Foreign Investment in the United States (CFIUS). As a result, AssetMark and HTSC have voluntarily entered into Agreements with CFIUS that ensure the segregation of AssetMark technology, systems, and confidential client and employee data from HTSC systems and personnel, as well as CFIUS' ongoing monitoring and enforcement of those commitments.

In addition, AssetMark does not share non-public personal information with any affiliated party for their marketing purposes. If AssetMark changes its privacy practices, AssetMark will provide investors with a written notice and the opportunity to opt out of such data sharing. Please see our [privacy policy](#) for more information.

TECHNOLOGY AND SECURITY MEASURES

AssetMark's privacy and security measures are designed to safeguard the sensitive data we need to serve financial advisors and their clients.

AssetMark has implemented a variety of technical and physical safeguards to maintain the security of client information. For example, our Network Operations team monitors all network traffic on a 24/7 basis. We use security certificates and protocols to ensure that the connection between the AssetMark platform and client browsers are secured. We also have a multi-tier, network protection program to secure our data centers and facilities, and employ Firewalls, Intrusion Protection and Detection solutions, as well as anti-phishing and anti-pharming detection.

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IMPORTANT INFORMATION

This is for informational purposes only, and is not a solicitation, and should not be considered as investment or tax advice. The information has been drawn from sources believed to be reliable, but its accuracy is not guaranteed, and is subject to change.

Investing involves risk, including the possible loss of principal. Past performance does not guarantee future results. Asset allocation alone cannot eliminate the risk of fluctuating prices and uncertain returns. There is no guarantee that a diversified portfolio will outperform a non-diversified portfolio in any given market environment. No investment strategy, such as asset allocation, can guarantee a profit or protect against a loss. Actual client results will vary based on investment selection, timing, and market conditions. It is not possible to invest directly in an index.

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