

# How AssetMark Protects Client Information

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## BACKGROUND

AssetMark, Inc. is a financial services company based in the U.S. AssetMark's mission is to make a difference in the lives of our advisors and their clients.

## PRIVACY & SECURITY OF CLIENT DATA

The privacy and security of client data is of paramount importance to AssetMark.

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 our duty and obligation to install and abide by appropriate policies, procedures and practices to meet this high standard. As is typical of many financial services companies, such 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 our obligations under Regulation S-P, AssetMark voluntarily maintains strict policies to prevent the sharing of data outside of the US to our ultimate parent company, Huatai Securities (HTSC). We also maintain network separation from HTSC and have agreed to submit to regular third party audits of our security protocols to ensure we continue to employ the best solutions and data protection measures.

AssetMark is an independent firm that maintains separate operations and does not share client information or technology with HTSC.

In addition, AssetMark's privacy policy prohibits the sharing of data with any third party, parent or any affiliate for marketing purposes. While AssetMark has no plans to share information with any affiliate, in order to change its privacy policy, AssetMark would be required to provide each investor with a written notice and the opportunity to opt out of such data sharing. Please see our [privacy policy](#) for more information.

## OUR TECHNOLOGY AND HOW IT ENSURES DATA SECURITY

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

AssetMark has implemented a variety of technical and procedural safeguards to maintain the confidentiality of client information. For example, our Network Operations team monitors all network traffic on a 24/7 basis. We use state-of-the-art protocols and security certificates 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, including industry-leading use of Firewalls, Intrusion Protection and Detection solutions, as well as anti-phishing and malware detection.

## ABOUT ASSETMARK

AssetMark was purchased by HTSC in 2016. HTSC is a China-based, publicly traded financial services firm registered on the Shanghai and Hong Kong exchanges.

More than three years after the transaction, AssetMark has the same brand, leadership team, sales and service structure, and mission: to make a difference in the lives of our advisors and their clients. AssetMark has its own distinct and separate management team that is singularly focused on enabling AssetMark's ability to continuously serve clients.

**AssetMark, Inc.**

1655 Grant Street  
10th Floor  
Concord, CA 94520-2445  
800-664-5345

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30501 | M0000 | 04/2019 | EXP 12/31/20