



Helix Wealth LLC — Privacy Policy

Effective Date: June 22, 2026

At Helix Wealth LLC, we respect your expectation of privacy and are committed to safeguarding your nonpublic personal information (NPI). This Privacy Policy explains how we collect, share, and protect your personal and financial information.

1. What Information We Collect

We collect nonpublic personal information about you to provide comprehensive wealth management, family office, tax, and estate planning services. This information may include:

- Information we receive from you on applications, agreements, and other forms (such as your name, address, Social Security number, assets, income, and investment objectives).
- Information about your transactions with us, our affiliates, or others (such as account balances, payment history, trade confirmations, and tax documents).
- Information we receive from custodians, attorneys, CPAs, or other third-party vendors you authorize us to coordinate with.

2. How We Share Your Information

We do not sell your personal information to anyone. We only share your nonpublic personal information with non-affiliated third parties as permitted or required by law, or as authorized by you to service your account. Specifically, we may share your information:

- **To Process Transactions and Service Your Accounts:** We share information with your qualified custodian (Charles Schwab) to execute trades, open accounts, and manage your assets.
- **To Coordinate Specialized Services:** With your consent, we share information with outsourced tax professionals (CPAs) or estate planning vendors to prepare tax returns or draft estate planning documents.
- **To Comply with the Law:** We may disclose information to regulatory authorities, law enforcement, or in response to subpoenas or court orders.
- **With Third-Party Service Providers:** We may share information with secure technology providers, billing platforms, or compliance consultants who perform services on our behalf and are bound by strict confidentiality agreements.

3. How We Protect Your Information

We maintain robust physical, electronic, and procedural safeguards to protect your personal information:

- We restrict access to your nonpublic personal information to those employees, supervised persons, and vendors who need to know that information to provide services to you.

- We utilize advanced cybersecurity measures, including data encryption, multi-factor authentication (MFA), and secure client portals to transmit and store sensitive financial and tax records.
- Any third-party vendors we engage are thoroughly vetted and contractually required to maintain strict confidentiality standards.

4. State-Specific Protections (Indiana)

For Indiana residents, we strictly adhere to Indiana state privacy laws. We will not disclose your nonpublic personal information to non-affiliated third parties for marketing purposes. If we ever propose to share your information in a manner that requires your explicit consent ("opt-in"), we will obtain your written authorization before doing so.

5. Changes to This Policy

We will provide you with a copy of our privacy policy annually as long as you maintain an active advisory relationship with us. If we make material changes to this policy, we will notify you promptly.

6. Contact Us

If you have any questions or concerns about how we protect your personal information, please contact:

Helix Wealth LLC

Attn: Dipen Kishore Mehta, Chief Compliance Officer

15709 Whelchel Drive, Fishers, Indiana 46037

Phone: 317-743-2748

Email: dipen@gohelixwealth.com