

Prime Capital Financial - Privacy Notice

One of Prime Capital Investment Advisors LLC's (Prime Capital Financial | Retirement | Wealth | Wellness) primary client goals is to protect your privacy.

Collection of Information: We gather private and non-public personal information about you to make products available to you through Prime Capital Financial and to provide you with our services. The information we collect starts with the information you provide on applications and other forms and when you request services from us. We seek to collect and use only the information that is necessary and appropriate for the needs of our business. We may collect information that relates to your investment needs and objectives, income, finances, employment, investments, and other factors that properly relate to the products made available through Prime Capital Financial and the services we are providing. We may search public records for relevant information about you. If you seek to purchase an insurance product or service through Prime Capital Financial, we may also receive information about your health and other factors needed by the insurer for that purpose. Maintaining complete and accurate information on our customers' records is important. If you become aware that we may have inaccurate information, please write or call us at:

Prime Capital Financial: 6201 College Blvd, Suite 150, Overland Park, KS 66211, Phone: 913-491-6226, Email: contact@primefinancial.com

Important Information for California Customers: In response to California law, Prime Capital Financial treats all accounts for clients who are residents of California as if the client does not want to disclose private or non-public personal information to non-affiliated third parties except as permitted by applicable California law. Clients who are residents of California are asked to complete a separate document titled, "Important Privacy Choices for Consumers".

Disclosure Information: Prime Capital Financial does not disclose private or non-public personal information about our customers or former customers to anyone, except as required or permitted by law or as authorized by you in writing. We do not sell customer lists or any information about our customers. We may share information about you with companies and individuals who perform services on our behalf. Some examples would include the following:

- **Sharing personal information with broker-dealer(s) for purposes of completing your requested transaction**
- **Sharing information with our service providers who distribute legally required documents such as prospectuses, annual reports, and proxy statements**
- **Sharing information with our service providers who perform audits/reviews of our firm and business practices**

If you are a resident of California, we will not share your private or non-public personal information with non-affiliated companies and individuals who perform services on our behalf if you notify us that you do not wish us to share this information with such non-affiliated companies and individuals. A separate document titled "Important Privacy Choices for Consumers" is available with this Privacy Notice that provides additional information under California law. Before disclosing information to those who provide services to us, we require them to agree to keep any private or non-public personal information about our customers confidential and to use it only for the purposes we have authorized. Prime Capital Financial also limits the sharing of private or non-public personal information for clients who are residents of California with our affiliates to comply with California privacy laws that apply to Prime Capital Financial. We may disclose information about you in response to a subpoena or other legal process and to protect against fraud.

Protecting Confidentiality of Customer Records: Prime Capital Financial will internally safeguard your non-public personal information by restricting access to only those employees who (1) provide our services; (2) provide information about products available through Prime Capital Financial; and/ or (3) need access to your information to service your account. In addition, we maintain physical, electronic, and procedural safeguards that meet the federal and/or state standard to guard your non-public personal information.

Do You Need to Do Anything? You do not need to take any action in response to this notice of our Privacy Policies and Procedures. Because we do not share your private or non-public personal information with non-affiliated third parties other than as described above, you do not need to opt-out or opt-in. If, however, you want more information concerning our privacy policies and practices, please contact us at:

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Form ADV Part 2A Delivery: If you are a client of Prime Capital Financial and would like to receive a current copy of our ADV Part 2A free of charge, please send a written request to the address shown above.

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FOR CALIFORNIA RESIDENTS ONLY

Important Privacy Choices for Consumers

FOR CALIFORNIA RESIDENTS ONLY

You have the right to control whether we share some of your personal information. Please read the following information carefully before you make your choices below.

Your Rights

You have the following rights to restrict the sharing of personal and financial information with our affiliates (companies we own or control) and outside companies that we do business with. Nothing in this form prohibits the sharing of information necessary for us to follow the law, as permitted by law, or to give you the best service on your accounts with us. This includes sending you information about some other products or services.

Your Choices

Restrict Information Sharing With Companies We Own or Control (Affiliates): Unless you say “No,” we may share personal and financial information about you with our affiliated companies.

NO, please do not share personal and financial information with your affiliated companies.

Restrict Information Sharing With Other Companies We Do Business With To Provide Financial Products And Services: Unless you say “No,” we may share personal and financial information about you with outside companies we contract with to provide financial products and services to you.

NO, please do not share personal and financial information with outside companies you contract with to provide financial products and services.

Time Sensitive Reply

You may make your privacy choice(s) at any time. Your choice(s) marked here will remain unless you state otherwise. However, if we do not hear from you we may share some of your information with affiliated companies and other companies with whom we have contracts to provide products and services.

Name: _____

Account or Policy Number(s): _____ [to be filled in by consumer]

Signature: _____

To exercise your choices please do the following:

Fill out, sign, and send back this form to us (you may want to make a copy for your records)