

## **Lion Street Financial, LLC Privacy Policy**

Thank you for establishing an account with Lion Street Financial, LLC (LSF) or engaging us to provide you investment services. Please take a moment to read the following information regarding our privacy policies as well as information regarding our select provider relationships. Information regarding the public disclosure program of the Financial Regulatory Authority (FINRA) and consolidated financial account reports is also included. If you are a customer of our advisory services, information about obtaining a current copy of our disclosure document is also enclosed. We have also provided you some information on important changes regarding tax reporting on your accounts. Thank you for the opportunity to meet your financial services needs.

### **Privacy Guidelines**

At LSF, maintaining our customers' trust and confidence is of paramount importance. We are committed to safeguarding your personal information. Please read this notice to learn more about our privacy policies.

This notice describes the privacy policies of LSF. Other companies and businesses that are affiliated with LSF may have their own policies and you will receive their policies separately. These privacy policies apply to individuals who obtain or apply for a financial product or service for personal, family, or household purposes, or have done so in the past, from LSF.

#### **I. Information That We Collect**

As part of providing you with our services we obtain nonpublic personal information about you which may include the following:

- Information we receive from you on applications, questionnaires, or other forms, websites or through discussions with our customer support staff including your name, address, social security number, assets and income, medical information, if applying for insurance products and other information we may receive from your financial advisor.
- Information about your transactions with us, our affiliates, or others, such as balances, payment history, parties to transactions and account usage.
- Information about you from other LSF affiliates, consumer and credit reporting agencies and other third-parties providing information regarding your credit worthiness, credit history and other information.
- Information from other unaffiliated third parties, including investment product

sponsors, employers, associations, benefit plan sponsors, and other institutions, if you transfer accounts, positions or funds to us such as your address, social security number, net worth, assets and income.

## **II. Information That We Share**

We share information in a limited and controlled manner. We share your information in order to manage your account, complete transactions quickly and efficiently, identify and protect you against fraud, enable us to determine the right services to meet your needs and to provide you with proper customer service. Examples of customer information that we may share include:

- Information we receive from you, such as your name, address, social security number, assets, and income, as provided, for example, on account applications.
- Information about your transactions with us, our affiliates and others, such as balances, payment history, parties to transactions, and account usage.
- Information we receive from affiliates, consumer and credit reporting agencies and other third-parties not affiliated with us, such as your creditworthiness and credit history.

Depending on the type of relationship you have with LSF, we may share information with other LSF affiliates, as well as with nonaffiliated third parties as set forth below.

### **A. Sharing Information with LSF Affiliates**

We share information about you with other LSF affiliates as permitted by law in order to provide you with financial tools and services. LSF may utilize common information systems or databases to which employees of our affiliates may have access that could contain your information however such information will not be disclosed by an LSF affiliate except as permitted by law.

### **B. Sharing Information with Third Parties Not Affiliated With LSF**

We do not disclose information about you to unaffiliated third parties except in limited circumstances and only in accordance with applicable law. Please be assured that whatever the reason for sharing your personal information, we take steps to assure that those parties respect your privacy by limiting the use of the information to the purpose for which it was disclosed. These unaffiliated third parties may include:

- Companies that perform services for your account that we do not provide ourselves. Such services may include account valuation, preparation of account statements, determination of fees and printing services.
- Companies that will help protect your account or information from fraud.

- Companies that provide services and products necessary to effect a transaction that you request or to service your account such as custodians, clearing firms, money-managers, investment product sponsors, mutual fund companies and insurance companies.
- Government agencies, courts, parties to lawsuits in response to subpoenas or otherwise as required by law. In such cases, we share only the information that we are required or authorized to share.

***We do not share information with nonaffiliated companies who intend to market their products to you. For example, we will not sell names and addresses to marketing companies.***

If the financial advisor servicing your account or providing you services leaves our company to join another broker-dealer, investment adviser or financial services firm, the financial advisor may retain copies of your information so that he or she may assist with the transfer of your account and continue to service your account at their new company.

### **III. Confidentiality and Security**

The security of your account information is important to us. Only those persons who need your information to perform their job have access to it. In addition, we maintain physical, electronic and procedural security measures that comply with applicable regulations to protect your information.

### **IV. Former Customers**

If you end your relationship with LSF, we will continue to adhere to the policies and practices described in this notice. Upon termination of your relationship, we may share information with any new broker-dealer, investment adviser or custodian that you select for purposes of transferring your account. To the extent we dispose of any information once you end your relationship with LSF, we will do so in accordance with applicable law.

### **FINRA Public Disclosure Program**

FINRA Conduct Rule 2280 requires us to provide you with the following information:

**The FINRA Regulation Public Disclosure Program Address, Hotline Number and Facsimile Telephone number are:**

Public Disclosure  
FINRA Regulation, Inc.  
P.O. Box 9401  
Gaithersburg, Maryland 20898-9401  
Telephone: 800.289.9999  
Fax: 301.212.8137

The FINRA Regulation Website address is: [www.FINRA.org](http://www.FINRA.org)

The FINRA Regulation Public Disclosure Program publishes an investor brochure that is available by contacting Public Disclosure at the above telephone number or address.

If you have any questions or concerns regarding your account, please feel free to contact your financial

### **Consolidated Financial Account Reports**

LSF has agreements with multiple sponsors of investment and insurance products, such as mutual funds, insurance carriers, and other companies with which you may have investments or that hold your assets. LSF also clears its brokerage and investment advisory account business through third-party custodians, such as National Financial Services. Our financial advisors may provide you a consolidated financial account report or other summary of your accounts as a courtesy and for informational purposes. These reports could include assets that are not held by or through LSF and are not covered by the Securities Investor Protection Corporation (SIPC). You should always reference your original statements from companies that maintain custody of your assets to confirm the amount and value of investments held by these companies. For more information about your accounts and statements please contact your LSF financial advisor. You may also go to [www.FINRA.org](http://www.FINRA.org) or [www.sec.gov](http://www.sec.gov) for more consumer information.

### **Disclosure Document Offer**

Rule 204-3 of the Investment Advisers Act of 1940 requires an investment adviser to annually offer to deliver a copy of its disclosure document to clients. To request a copy of our Summary Disclosure Statement please contact us at 512-776-8400 Option 5.

### **Additional Information**

For additional information regarding fees and compensation, you should refer to the prospectus and statement of additional information applicable to your investment.

### **Reminder**

You should always keep your financial advisor informed of any changes in your investment objectives. Please call your financial advisor to discuss any such changes. If you do not have a financial advisor assigned to your account or if your financial advisor is no longer associated with LSF, please contact our home office at 512-776-8400 Option 3.

## V. Consumers' rights under the CCPA (California Consumer Privacy Act)

- The right to know what personal data is being collected about you
- The right to know whether your personal data is sold or disclosed and to whom
  - We do not sell consumers personal data, of any kind
- The right to say no to the sale of your personal data
- The right to access your personal data
- The right to request Lion Street to delete any personal information about you that we have collected
- The right not be discriminated against for exercising your privacy rights

To make a request about your personal information at Lion Street Financial please do one of the following:

- You may make a request by calling: 512-776-8499
- You may submit a request at: [lionstreet.com/consumerprivacypolicy](https://lionstreet.com/consumerprivacypolicy)

The categories of personal information we collected about you and or disclosed for a business purpose are listed above in **Section I** and **Section II**.

Lion Street Financial uses a Customer Relationship Manager (CRM) to store and manage some of it's customer information.

Lion Street Financial does not and has not sold consumers personal information in the preceding 12 months.