



Privacy Policy

How We Use and Protect Personal Information

Protecting your privacy is very important to Central States Capital Markets (CSCM) and their affiliates. We value your trust and we want you to understand what information we collect, how we protect it, and how we use it. We treat personal information—non-public information that identifies you—with the greatest respect and in accordance with this privacy policy.

Information We May Collect

Our privacy protections extend to all 'customer information' in our possession. This includes nonpublic personal information we collect directly from you, as well as information we receive from our clearing firm and other financial intermediaries involved in processing your transactions. This policy applies even if the information pertains to individuals who do not have a direct account relationship with our firm but whose data is shared with us to facilitate financial services. The information we collect may include identification and contact information, as well as transaction and investment experience information from applications, transactions with others and us, and from outside companies.

Examples of the Sources and Types of Information We May Collect Include:

- Information about the products and services you purchase through us, including copies or applications, registration forms, or other forms, containing your name, address, telephone number, social security number, e-mail address, investment objectives, income, assets, employment information, and accounts with others.
- Information regarding your brokerage and/or investment advisory transaction history with us, our service providers, such as clearing firms or other companies, and information that other companies who assist us in marketing our own products and services or products we offer jointly with other financial institutions may have such as your name, address and telephone number.
- Information under the USA Patriot Act enacted by the United States Treasury Department and Congress to combat terrorism. (Investor notification available upon request.)

How We Protect Information

We maintain a formal Incident Response Program designed to detect, contain, and recover from unauthorized access to your sensitive information. In the event of a data breach that is reasonably likely to result in substantial harm or inconvenience, we commit to notifying affected individuals as soon as possible, and no later than 30 days after our discovery of the incident.

Information We May Disclose and To Whom We May Disclose Information

CSCM does not disclose your personal information to companies or organizations not affiliated with us that would use the information we have provided them to contact you about their own products and services. We may disclose all the personal information we collect, as described above, to our staff, affiliates, representatives, their affiliated businesses, insurance companies, brokers, banks, broker/dealers and investment advisers that provide services to you on our behalf, in the following types of situations:

- Providing administrative, customer assistance, clearing, operational, or other services;
- Preparing, printing and delivering portfolio management performance reports, confirmation statements, and other documents;
- Maintaining or developing software for us; and a financial institution (such as banks, investment advisers, or securities firms) with which we have joint marketing arrangements to jointly endorse or offer financial products or services. CSCM or any of its affiliates will not sell your personal and confidential information to unaffiliated third parties.
- State, Federal, and other regulatory and self-regulatory authorities as required by law or regulation;



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- We recognize that you have elected to open accounts with us due to the efforts of your Registered Representative. If he or she elects to leave our firm for another registered broker-dealer, we may allow them to take your information with them to the new firm, subject to the requirements or limitations of applicable law. If you do not want your Registered Representative to transfer this information from our firm to his or her new firm in the event he or she decides to leave our firm for another registered broker-dealer, please contact us at 913-766-6565.

Disclosures Permitted by Law

We may also disclose all the information we collect as permitted or required by law. For example, we may disclose information to law enforcement agencies or insurance and securities regulatory agencies.

Third-Party Service Providers

We require all third-party service providers who have access to your nonpublic personal information to maintain robust security protocols. We conduct regular due diligence and require these providers to notify us immediately—typically within **72 hours**—of any security breach involving your data so that we may take appropriate action.

Securing Your Information

Our staff, affiliates, representatives, and their staff are required to follow our policies and procedures to keep your information secure, confidential, and prevent unauthorized use of your personal information. Our physical, electronic, and procedural safeguards have been reasonably designed to protect your information. We also maintain strict protocols for the secure disposal of customer information when it is no longer required to be maintained by law or regulation, using methods designed to prevent unauthorized access or use.

Your Right to Opt Out

As a broker-dealer subject to the regulations of the Securities and Exchange Commission, we are required to provide you with the ability to direct us to not disclose non-public personal information about you to unaffiliated third parties. However, CSCM does not disclose non-public personal information about its clients to unaffiliated third parties, so it is not necessary for you to notify us of this intention. If you would still like to opt out of the disclosures to unaffiliated third parties or a departing Representative, you may contact us at 913-766-6565.

Instructions on How to Notify Us

For any question regarding this privacy policy, please contact your Registered Representative directly or call CSCM at 913-766-6565. You may also contact us in writing at:

Central States Capital Markets, LLC
4200 W. 83rd Street, Suite 101
Prairie Village, KS 66208

CSCM values your business. We pledge to provide you with investment options and services to help you achieve your investment goals. Visit our website at www.mycscm.com to find links to our clearing agent (Hilltop Securities), our primary regulator (FINRA), FINRA Broker Check, and CSCM's latest Business Continuity Plan, Privacy Policy, Patriot Act Notice, Reg BI, Forms ADV and CRS.

CSCM is also registered with the U.S. Securities and Exchange Commission (SEC) and the Municipal Securities Rulemaking Board (MSRB). An MSRB Investor Brochure is available at www.msrb.org.