

NOTICE REGARDING TREATMENT OF CONFIDENTIAL INFORMATION

Client One Securities, LLC strongly believes in protecting the confidentiality and security of information it collects about you. This Notice describes our firm's privacy policy and describes how we treat the information we receive about you.

Why We Collect And How We Use Information

When we evaluate your request for our services and products, provide investment advice to you and process investment transactions for your account, you typically provide us with certain personal information necessary for us to provide these services to you. We may also use that information to offer you other services we provide which may meet your financial needs.

What Information We Collect

The personal information we collect may include:

- Name and address;
- Social Security or taxpayer identification number;
- Assets;
- Liabilities;
- Age;
- Occupation;
- Income;
- Account holdings and balance;
- Investment objectives and risk tolerance;
- Investment activity;
- Accounts at other institutions; and
- Other financial and personal information.

How We Protect Information

We do not sell your personal information to anyone.

We treat information about current and former customers and their accounts in a confidential manner. Our employees may access information and provide it to third parties only when completing a transaction at your request or providing our other services to you.

We also maintain physical, electronic and procedural safeguards to protect information. Employees and our managers and counselors are required to comply with our established information confidentiality guidelines.

Disclosure of Information

At your request, we may disclose information to attorneys, accountants, lawyers, securities professionals and others to assist us, or them, in providing services to you. We may also share information with companies that perform services on our behalf, such as the

companies that we hire to perform marketing or administrative services. Companies we may hire to provide support services are not allowed to use your personal information for their own purposes. We may make additional disclosures as permitted by law.

We allow Representatives servicing your account to retain your personal information in the event they leave our firm. If you prefer to "opt out" and not allow your Representative to retain personal information about you when the Representative leaves, you may do so by writing to us, or calling the number at the end of this Notice.

Access to And Correction of Information

Generally, upon your written request, we will make available information for your review. Information collected in connection with, or in anticipation of, any claim or legal proceeding involving us will not be made available.

If your personal information with us becomes inaccurate, or if you need to make a change to that information, please contact us at the number shown below so we can update our records.

Further Information

For additional information regarding our privacy policy, please contact us at Client One Securities, LLC, 11460 Tomahawk Creek Parkway, Leawood, Kansas 66211, (913) 814-6097.