

# Privacy Policy

## How We Use and Protect Personal Information

To Central States Capital Markets, LLC and its affiliates, protecting your privacy is very important. 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

We may obtain information, most of which comes directly from you, to provide you with products and services you have requested and as we deem appropriate, to determine your eligibility for products or services. We may collect 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.)

## Information We May Disclose and To Whom We May Disclose Information

Central States Capital Markets, LLC 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. Central States Capital Markets, LLC 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;
- 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.

# Privacy Policy

## **Securing Your Information**

Our staff, affiliates, representatives, and their staffs 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.

## **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, DFN 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, 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 Central States Capital Markets, LLC 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